



Washington Headquarters Services

ADMINISTRATIVE INSTRUCTION

NUMBER 15

Volume I

November 14, 2006

Incorporating Change 1, April 18, 2008

ESD, WHS

SUBJECT: ~~Administrative Procedures for the~~ Office of the Secretary of Defense (OSD)
Records Management Program – *Administrative Procedures*

- References:
- (a) Administrative Instruction No. 15, “OSD Records Management Program,” August 11, 1994 (hereby canceled)
 - (b) DoD Directive 5110.04, “Washington Headquarters Services,” October 19, 2001
 - (c) DoD Directive 5015.02, “DoD Records Management Program,” March 6, 2000
 - (d) Chapters 29, 31, and 33 of Title 44, United States Code
 - (e) through ~~(t)~~, see Enclosure 1

1. REISSUANCE AND PURPOSE

This Administrative Instruction (AI):

1.1. Reissues Reference (a) to update procedures for the maintenance and disposition of OSD records and implements Reference (b), which assigns responsibility to the Director, Washington Headquarters Services (WHS), for the records management program under References (c), (d), and (e).

1.2. Cancels AIs 22, 49, and 85 (References (f) through (h)).

2. APPLICABILITY AND SCOPE

2.1. This Instruction applies to the OSD, Defense Agencies, and DoD Field Activities to whom WHS provides administrative support and to WHS (hereafter referred to collectively as the “OSD Components”).

Change 1, 4/18/2008

2.2. AI 15 consists of two Volumes (hereafter referred to as Volume I and Volume II (*Reference (i)*). Volume I contains the responsibilities and administrative procedures concerning the lifecycle management of records, ~~Volume II-Reference (i)~~ contains the OSD Components records disposition schedules ~~as 2.3. Until the revised disposition schedule is~~ approved by the National Archives and Records Administration (NARA). ~~Volume II shall consist of the current NARA approved OSD disposition schedule.~~ It will be updated as NARA approves *changes to the various* schedules of the OSD Components *and issues General Records Schedules citations.*

3. DEFINITIONS

Terms used in this Instruction are defined in Enclosure 2.

4. POLICY

It is DoD policy, under Reference (c), to limit the creation of records to those essential for the efficient conduct of official business and to preserve those of continuing value while systematically eliminating all others, and to ensure their management is in compliance with Chapter 31 of 44 United States Code (U.S.C.), 36 Code of Federal Regulations (CFR), and 41 CFR (References (d), (e), and (~~j~~)).

5. RESPONSIBILITIES

5.1. The Director, Washington Headquarters Services, under the authority, direction, and control of the Director of Administration and Management of the OSD (DA&M, OSD), shall:

5.1.1. Direct and administer the records management program for the OSD Components.

5.1.2. Provide guidance to OSD Components for the creation, organization, maintenance, use, and disposition of all their records.

5.1.3. Cooperate with NARA in developing and applying standards, procedures, and techniques designed to improve the management of records; ensure the maintenance and security of records of continuing value; and facilitate the identification, segregation, and disposal of all records of temporary value.

5.1.4. Ensure compliance with Reference (~~j~~).

5.1.5. Coordinate with the Chief Information Officer, DoD, on records management policy matters pertaining to information technology (IT) and electronic records.

5.1.6. Designate the Records and Declassification Division (R&DD), Executive Services Directorate (ESD), WHS, as the office of record and the point of contact for records management activities.

5.2. The OSD Records Administrator (Chief, R&DD), ESD, WHS, shall, as prescribed by Reference (c):

5.2.1. Establish a comprehensive OSD records management program to support the requirements of the References (c) through (e), and (~~j~~) .

5.2.2. Ensure effective control over the organization, maintenance, use, designation, and disposition of all OSD Components' records, regardless of media (paper, electronic, audiovisual, etc.).

5.2.3. Develop and apply standards, procedures, and techniques for improving records management; ensuring the maintenance and timely retirement of records of continuing value; and facilitating the segregation and disposal of all records of temporary value.

5.2.4. Oversee the efforts of the OSD Components in implementation of this Instruction as the Federal Agency Records Officer.

5.2.5. Act as the liaison official with NARA, other Government Agencies, private industry, and private citizens on records management matters.

5.2.6. Institute and oversee a records management evaluation program according to References (e), (~~j~~) and Executive Order 12958 (Reference (~~j~~k)) to ensure compliance of the OSD Components and to provide for improvements and changes to existing procedures and records schedules to reflect current mission and organizational requirements.

5.2.7. Ensure that appropriate OSD personnel receive adequate records management training, either through the auspices of other Agencies, e.g., NARA, General Services Administration (GSA), in-house programs, or through professional organizations.

5.2.8. Manage the systematic and mandatory declassification programs of permanently valuable classified information, in accordance with DoD 5200.1-R (Reference (~~k~~l)).

5.2.9. Monitor the acquisition of information technology systems within OSD and WHS enterprise architecture, to ensure compliance with records management laws and regulations.

5.2.10. Provide the OSD Components with advice and management assistance when creating new records systems, including implementing electronic records management, to ensure the systems are adequately documented, secure, accessible, and disposition instructions are established.

5.2.11. Provide advice and assistance to the OSD Components on the identification, segregation, retention, and disposition of personal papers in accordance with References (e) and (~~k~~l).

5.2.12. Coordinate, control, and supervise access to OSD records essential for historical research, ensuring that appropriate safeguards for information security and personal privacy, as outlined by References (~~j~~k) and DoD Directive 5400.11 (Reference (~~l~~m)) are followed.

5.2.13. Manage the transfer of records to and retrieval from the Federal Records Centers (FRCs).

5.2.14. Maintain record on all current suspension actions to normal disposition instructions, such as records hold, freeze, moratorium, or preservation orders.

5.3. The Heads of the OSD Components shall:

5.3.1. Establish a records management program within their Component to support the requirements outlined in References (c) through (e) and (~~i~~j), and with the regulations issued there under.

5.3.2. Apply standards, procedures, and techniques to ensure the most economical, efficient, and reliable means for creation, retrieval, maintenance, preservation, and disposition of their records, regardless of media.

5.3.3. Institute measures to ensure that records of continuing value are preserved and that appropriate disposition or retirement is made of records no longer of current use.

5.3.4. Appoint an individual(s) to perform the records management functions and serve as accountable records custodians in their Component and to act in liaison with the OSD Records Administrator. Individual(s) should have knowledge of applicable laws and regulations governing records management, and/or must be sent to records management training, offered by NARA or R&DD within 3 months of their appointment. These appointments shall be made in writing and furnished to the OSD Records Administrator. All appointments will state the offices supported by the individual(s). Appointment memos will be updated upon the departure or change of the individual(s).

5.3.5. Ensure that all offices within their component have approved files plans.

5.3.6. Annually review and approve the files plan for each office within their purview to ensure that records are accurately identified; these files plans will be reviewed and approved by the individual appointed in 5.3.4.

5.3.7. Perform self-evaluations of their records management program every 2 years to ensure compliance with the guidance in this instruction.

5.3.8. Evaluate current and potential information systems (IS) to identify record information being created or received during the conduct of business and ensure the preservation of Federal records as specified in Enclosure 7. Record information created by ISs and not identified in the disposition schedule (~~Volume II Reference (i)~~), should be brought to the attention of the OSD Records Administrator.

5.3.9. Ensure that the policies and provisions of DoD Directive 8910.1 (Reference (~~m~~)) are followed in the creation of OSD records.

5.3.10. Ensure that essential documents and records needed for continuity of operations are identified and preserved in compliance with DoD Directive 3020.26 (Reference (~~o~~)).

5.3.11. Ensure that North Atlantic Treaty Organization (NATO) documents are handled in accordance with AI No. 27 (Reference (~~p~~)).

5.3.12. Ensure that the requirements of Reference (~~m~~) are satisfied if creating records or system of records that are subject to the Privacy Act.

5.3.13. Periodically inform and caution all employees not to transfer or destroy records in their custody except as allowed under Reference (d) and this Instruction, and ensure they are made aware of their legal responsibility to report to the appropriate officials any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.

5.3.14. Ensure contractors performing Congressionally mandated program functions create and maintain records to document these functions. Contracts must specify the delivery to the Government of all the data required for the adequate documentation of the contractor-operated program. The contractor will apply the appropriate file identification (~~Volume II Reference (i)~~) to all records delivered.

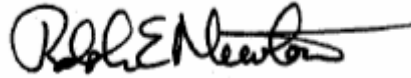
5.3.15. Ensure employees manage their personal papers in accordance with Enclosure 7, and References (e) and (~~k~~).

6. PROCEDURES

The OSD Component records disposition schedules shall be found in ~~Volume II Reference (i)~~. Enclosures 3 through 11 address, in detail, specific functions of the OSD Records Management Program.

7. EFFECTIVE DATE

This Instruction is effective immediately.

A handwritten signature in black ink, appearing to read "Ralph E. Newton", with a long horizontal flourish extending to the right.

Ralph E. Newton
Acting Director

Enclosures – 11

- E1. References, continued
- E2. Definitions
- E3. List of Figures
- E4. The OSD Functional Files System
- E5. Filing Equipment and Supplies
- E6. Disposition Procedures
- E7. Disposition of Personal Papers & Nonrecord Materials
- E8. Electronic Records
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- E10. Packing and Shipping Procedures for Transfer of Records
- E11. Recall of Records from the FRC

E1. ENCLOSURE 1

REFERENCES, continued

- (e) Title 36, Code of Federal Regulations, Chapter XII, Subchapter B.
- (f) Administrative Instruction No. 22, "Automatic Data Processing Records Management," May 24, 1979 (hereby canceled)
- (g) Administrative Instruction No. 85, "Micrographic Policy," March 19, 1981 (hereby canceled)
- (h) Administrative Instruction No. 49, "Systematic Review of 20-Year-Old Classified Records," February 12, 1980 (hereby canceled)
- (i) *Administrative Instruction No. 15, Volume II, "Office of the Secretary of Defense (OSD) Records Management Program – Records Disposition Schedule," April 18, 2008*
- (~~j~~) Title 41, Code of Federal Regulations, Chapter 102
- (~~jk~~) Executive Order 12958, "Classified National Security Information as Amended," March 28, 2003
- (~~kl~~) DoD 5200.1-R "Information Security Program Regulation," January 14, 1997
- (~~lm~~) DoD Directive 5400.11, "DoD Privacy Program," November 16, 2004
- (~~mn~~) DoD Directive 8910.01, "Management and Control of Information Requirements," June 11, 1993
- (~~no~~) DoD Directive 3020.26, "Continuity of Operations (COOP) Policy and Planning," September 8, 2004
- (~~op~~) Administrative Instruction No. 27, "Control of North Atlantic Treaty Organization Classified Documents," October 4 1982
- (~~pq~~) DoD 5015.2-STD, "Design Criteria for Electronic Records Management Software Applications," June 19, 2002
- (~~qr~~) Sections 641 and 2071 of title 18 United States Code
- (~~rs~~) Administrative Instruction No. 50, "Historical Research in the Files of the Office of the Secretary of Defense (OSD)," November 29, 1993
- (~~st~~) Administrative Instruction No. 26, "Information Security Supplement to DoD 5200.1-R," April 1, 1987
- (~~tu~~) Executive Order 12906, "Coordinating Geographic Data Acquisition and Access: The National Spatial Data Infrastructure (NSDI)," April 11, 1994

E2. ENCLOSURE 2

DEFINITIONS

The following list of definitions is comprised of those terms used in this Instruction as well as a number of others, common to the records management field, most likely to be encountered by persons performing records management functions at any level in an organization.

E2.1.1. Access

E2.1.1.1. The availability of or the permission to consult records, archives, or manuscripts.

E2.1.1.2. The ability and opportunity to obtain classified or administratively controlled information or records.

E2.1.2. Accession Number. (1) The transfer of the legal and physical custody of permanent records from an agency to the National Archives. (2) The transfer of agency records to a FRC for temporary storage. See Retirement and Transfer Number.

E2.1.3. Active Records. See Current Records.

E2.1.4. Archival Value. The determination by appraisal that records are worthy of permanent preservation by the Archivist of the United States. See also Historical Value.

E2.1.5. Audiovisual Files. Files in pictorial or aural form, regardless of format. Included are still photos, graphic arts such as posters and original art, motion pictures, video recordings, audio or sound recordings, and related records.

E2.1.6. Block. A chronological grouping of records consisting of one or more segments of records that belong to the same series and are dealt with as a unit for the purposes of their efficient transfer, especially the transfer of permanent records to the NARA. For example, a transfer of records in 5-year blocks.

E2.1.7. Case File. Files, regardless of media, containing material on a specific action, event, person, place, project, or other subjects. Sometimes referred to as a “project file” or a “transaction file.” Also a collection of such folders or other file units. Case Working Files. Support files, such as worksheets, questionnaires, rough notes, calculations, are worksheets, questionnaires, rough notes, calculations, are generally kept for a shorter period of time than the papers that serve to document the project. See Working Files.

E2.1.8. Central Files. The files of several offices or organizational units physically and/or functionally centralized and supervised in one location.

E2.1.9. Chronological Reading File. See Reading File.

E2.1.10. Classified Information. Records or information requiring, for national security reasons, safeguards against unauthorized disclosure. See Closed File (2).

E2.1.11. Closed File. (1) A file unit or series containing documents on which action has been completed and to which additional documents are not likely to be added. (2) A file unit or series to which access is limited or denied. See Cut off and Classified Information.

E2.1.12. Convenience File. Nonrecord copies of correspondence, completed forms, publications, and other information maintained for ease of access and reference. Sometimes known as "working files."

E2.1.13. Copy. (1) A reproduction of the contents of an original document, prepared simultaneously or separately, and usually identified by function or by method of creation. Copies identified by function may include action copy, comeback copy, file or record copy information or reference copy, official copy, and tickler copy. (2) In electronic records, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source. See Nonrecord Material and Records.

E2.1.14. Cross-Reference. A procedure used to show the location of a document that may be filed, because of content, under more than one subject.

E2.1.15. Current Files Area (CFA). The area where current records are physically maintained, usually in a location that provides convenient access for reference and retrieval.

E2.1.16. Current Records. Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.

E2.1.17. Custody. The guardianship of records that in a strict sense includes both physical possession (protective responsibility) and legal title (legal responsibility). For example, OSD records transferred to an FRC are in the PHYSICAL POSSESSION of that facility but legal title to them remains with the OSD and access may be granted only with the approval of the originating Agency; when accessioned by the National Archives, legal title, and physical possession then pass to the Archivist of the United States, who may grant access without reference to the originating Agency.

E2.1.18. Cut off. Termination of files at specific intervals to permit transfer, retirement, or disposal in periodic (quarterly, semiannual, or annual) blocks. Sometimes called "file break." See also Block.

E2.1.19. Discontinuance. The placing of an organization in an inactive or surplus status. When the term is used in this Instruction, it includes inactivation, disbandment, discontinuance or reduction to zero in strength.

E2.1.20. Disposal. Physical destruction of Temporary Records. See also Disposition.

E2.1.21. Disposal Authority. The legal authorization for the disposal of records obtained from the Archivist of the United States empowering an Agency to transfer Permanent Records to the NARA and to carry out the disposal of Temporary Records. Also called “disposition authority.”

E2.1.22. Disposition. Actions taken with regard to records following their appraisal by the NARA. No disposition of any Series of records is authorized before its appraisal. Records disposition is any activity with respect to:

E2.1.22.1. Disposal of temporary records by destruction or donation;

E2.1.22.2. Transfer of records to Federal Agency storage facilities or FRCs;

E2.1.22.3. Transfer to the Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation; or

E2.1.22.4. Transfer of records from one Federal Agency to any other Federal Agency.

E2.1.23. Disposition Instruction. An instruction for the cut off, transfer, retirement or destruction of documents. Specific techniques for using or applying disposition instructions are in Enclosure 7 to this Instruction.

E2.1.24. Disposition Program. Practices designed to achieve efficient and economical disposition of records. The program involves developing standards, procedures, and techniques for managing the longevity of records. Includes controls over office filing equipment, scheduling records for disposition and administering their storage, documenting Agency benefits accruing from the program, and undertaking surveys and audits of disposal operations.

E2.1.25. Disposition Schedule. A document governing, the continuing mandatory disposition of a record series of an organization or Agency. Also known as a “records schedule,” “records control schedule,” “retention schedule,” or “records retention schedule.” **Volume II Reference (i)** contains the only authorized Disposition Schedule for the OSD. See also General Records Schedule (GRS).

E2.1.26. Disposition Standard. The time period for the cut-off transfer to a records center, destruction, or transfer to the NARA of a file series.

E2.1.27. Electronic Records. Records stored in a form that only a computer can process and satisfies the definition of a Federal Record, also referred to as machine-readable records or automatic data processing records.

E.2.1.28. Electronic Information System. A system that contains and provides access to a computerized Federal Record. See Information System.

E.2.2.29. Electronic Mail System. A computer application used to create, receive, and transmit messages, and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain transmission data), data systems used to collect and process data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted with the message.

E.2.1.30. Evidential Value. The usefulness of records in documenting the organization, functions, and activities of the agency creating or receiving them. See Historical Value.

E2.1.31. Federal Information Resources Management Regulation. Regulations on information resources management issued by the GSA and applicable to Federal Agencies.

E2.1.32. Federal Management Regulations (FMR). The FMR is the successor regulation to the Federal Property Management Regulation. It contains GSA regulatory policy on the economy and efficiencies of records management, which are codified in 41 CFR Parts 102-193 (Reference (ij)).

E2.1.33. Federal Records Center. A records center operated by NARA. See Records Center.

E2.1.34. Federal Records. See Record.

E2.1.35. File. (1) An accumulation of records or nonrecord materials arranged according to an approved plan. Used primarily in reference to current records in an office. (2) A unit, such as a folder, microform, or electronic medium, containing records, nonrecords, or personal papers. (3) In electronic records, an organized collection of related data, usually arranged into logical records stored together and treated as a unit. The unit is larger than a data record but smaller than a data system and is sometimes known as a “data set.” Referred to collectively as “files.”

E2.1.36. File Inventory. A survey of Agency records to gain information needed to develop a disposition schedule. Includes a descriptive listing of each record series of a system, together with an indication of where it is located and other pertinent data.

E2.1.37. Functional File System. A system of files based on the major functions by which the records shall be retrieved. With Program Records or mission-related files, these functions mirror the office organization and reflect the nature of the work being done there. The OSD uses a functional file system. More information on this type of system is in Enclosure 4 to this Instruction.

E2.1.38. Finding Aids. Indexes or other lists, whether manual or automated, designed to make it easier to locate relevant files.

E2.1.39. Frozen Records. Those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order, require a temporary extension of the approved retention period.

E2.1.40. General Records Schedule (GRS). A schedule issued by the Archivist of the United States governing the disposition of specified recurring series common to several or all Agencies of the Federal Government. These series include civilian personnel and payroll records, procurement, budget, travel, electronic, audiovisual and administrative management records. When records described in the GRS are used by any Federal Agency, their disposition is governed thereby. Exceptions may be granted only by the Archivist of the United States. The GRS DOES NOT apply to an Agency's program records. "Program records" are those peculiar to an Agency's mission or not "common to several or all Agencies of the Federal Government."

E2.1.41. Historical Value. The usefulness of records for historical research concerning the Agency of origin. See Evidential Value.

E2.1.42. Holding Area. Agency space assigned for the temporary storage of active or semi-active records and for records with relatively short retention periods. Also known as a "staging area."

E2.1.43. Housekeeping Records. Records of an organization that relate to budget, fiscal, personnel, supply, and similar administrative or support operations normally common to most Agencies, as distinguished from records that relate to an Agency's primary functions. (See GRS.)

E2.1.44. Inactive Records. See Noncurrent Records.

E2.1.45. Information System. The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. Most often refers to a system of electronic records.

E2.1.46. Legal Value. The use of records containing evidence of legally enforceable rights or obligations of Government and/or private persons.

E2.1.47. Life Cycle of Records. The concept that records pass through three stages: creation, maintenance and use, and disposition. Records should be managed properly during all three phases of the lifecycle.

E2.1.48. Meta Data. Data describing the structure, data elements, interrelationships, and other characteristics of an electronic record. Usually described as data about the data. (See Unstructured Data)

E2.1.49. Microform. Any form containing greatly reduced images, or micro-images, usually on microfilm. Roll microforms include microfilm on reels, cartridges, and cassettes. Flat microfilms include microfilm jackets, aperture cards, and micro-cards, or micro-opaques.

E2.1.50. Noncurrent Records. Records that are no longer required in the conduct of current business and therefore can be transferred to an FRC or destroyed, if authorized by an approved disposition schedule.

E2.1.51. Nonrecord Material. Material not usually included within the definition of Records, such as extra copies of documents, but only if the sole reason such copies are preserved is for convenience of reference; library and museum material, but only if such material is made or acquired and preserved solely for reference or exhibition purposes; and stocks of publications. This latter category does not include record sets of publications, posters, and maps that serve as evidence of Agency activities and have value for the information they contain. Nonrecord material existing in offices must also be managed. See Personal Papers.

E2.1.52. Official Records. See Records.

E2.1.53. Permanent Records. Records appraised by the Archivist of the United States as having enduring value because they document the organization and functions of the Agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the Agency deals. The Archivist of the United States estimates that no more than 5 percent of all records generated by the Federal Government are permanent. In the OSD, they generally fall into the following categories:

E2.1.53.1. Policy, Procedural, Organizational, or Reporting Documents

E2.1.53.1. Formal policy and procedural issuances (obsolete as well as current), such as regulations, orders, circulars, manuals, and other types of directives with related forms, recommendations, endorsements, clearances, and comments.

E2.1.53.2. Organizational charts and directories (obsolete as well as current).

E2.1.53.3. Annual or other periodic narrative and statistical reports on accomplishments at the organizational levels above divisions.

E2.1.53.4. Narrative accounts of an Agency's history.

E2.1.53.5. Publicity and public information material, such as press releases on matters of general interest to taxpayers; photographs and official speeches on changes in OSD policies and programs; charts and posters.

E2.1.53.6. Publications that contribute to an understanding of the organization and the functioning of the OSD Components, exclusive of publications that embody the results of statistical or research activity.

E2.1.53.2. Records That Provide Executive Direction to OSD Components

E2.1.53.2.1. Such authoritative documents consist of those received by the OSD for comment, clearance, appraisal, evaluation, guidance, or other action, and those drafted, prepared, or issued by the OSD. Included are documents on legislation and executive orders proposed by the OSD or by other Government Agencies, delegations, and continuing authorities and revocations thereof; inter-Agency agreements; court decisions; internal and external interpretations and rulings; and legal opinions. Also, case, subject, planning, and control files documenting the preparation, issuance, analysis of, reactions to, and compliance with those authoritative documents that affect and define the functions of the OSD Component concerned.

E2.1.53.2.2. Legislative history files, exclusive of nonrecurring copies of hearings, bills, and statutes.

E2.1.53.2.3. Agenda and minutes, with supporting papers, of staff meetings at division and higher organizational levels on substantive functions of the OSD or the Department of Defense.

E2.1.53.2.4. Agenda and minutes, with supporting papers, of those meetings of inter-Agency and extra-Federal Governmental bodies in which OSD participates that relate to substantive matters on OSD or DoD functions.

E2.1.53.2.5. Reports on special studies, surveys, and inspections of operations, management, and systems with related papers showing their inception, scope, procedures, and results.

E2.1.53.2.6. Documents on relations with the White House, the Executive Office of the President, and the Congress, that concern the planning, initiation, management, and effectiveness of changes in OSD's programs, including inter-Agency programs in which the OSD participates.

E2.1.53.2.7. Budget statements (estimates and justifications) prepared at the OSD level, budget digests, budget briefing books, and comprehensive program and financial plans developed under the planning, programming, and budgeting system and earlier or later equivalents, such as zero-base budgeting.

E2.1.53.2.8. Annual activity reports, and any special nonrecurring reports, from field offices that are required for executive directions.

E2.1.53.2.9. Inter-Agency agreements and delegations of continuing authority to and from other Agencies that significantly affect the substantive functions of the OSD.

E2.1.53.2.10. Case files on approved plans, policies, programs (including internal management improvement, records management, and staff development programs), projects, and procedures.

E2.1.53.2.11. Litigant case files, the results of which had a significant impact on DoD policy or procedures.

E2.1.53.3. Records Documenting Major Functions of the OSD Components

E2.1.53.3.1. Documentation of the development, supervision, and evaluation of each of the major substantive functions.

E2.1.53.3.2. Formal legal opinions on major functions.

E2.1.53.3.3. Case files of significance on policy formulation.

E2.1.53.3.4. Summary statistical data on each major function.

E2.1.53.3.5. Pertinent portions of office files of directorates or higher organizational units that were responsible for carrying out major substantive functions of the OSD or the Department of Defense, or both.

E2.1.53.3.6. Pertinent portions of office records, if the substantive functions were administered from the field.

E2.1.54. Personal Papers. Papers of a private or nonofficial character that pertain only to an individual's personal affairs that are kept in the office of a Federal official and clearly designated by that official as nonofficial. Personal papers are required to be filed separately from official records of the office. See Enclosure 7 to this Instruction for additional guidance.

E2.1.55. Program Records. Records created or received and maintained by an Agency in the conduct of the substantive mission functions (as opposed to administrative or Housekeeping functions). Sometimes called "operational records."

E2.1.56. Reading File. A file containing copies of documents, usually outgoing correspondence, arranged in chronological order. Sometimes referred to as a "chron file," or "chronological reading file."

E2.1.57. Record Copy. The official, or file, or coordination copy created by an action office, complete with coordinations, enclosures, or related background papers that form a complete file or history of that action.

E2.1.58. Record Group. A body of organizationally related records established by NARA to keep track of Agency records during and after the scheduling process, including those transferred

to FRCs and/or the National Archives. The record group for the OSD is 330; other elements of the Department of Defense are assigned their own record group numbers.

E2.1.59. Records. (Also referred to as Federal records or Official records). All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. See also Nonrecord Material.

E2.1.60. Records Control Schedule. A listing prepared by each OSD office identifying the records series, filing arrangement, and ultimate disposition of all files maintained. See Enclosure 4 to this Instruction for more detail.

E2.1.61. Records Center. A facility, sometimes specially designed and constructed, for the low-cost, efficient storage and furnishing of reference service on semi-current records pending their ultimate disposition. Generally, this term refers to the FRCs maintained by NARA, but provisions exist, providing stringent criteria are met, to permit individual Federal Agencies to create their own records centers or to contract this service out to civilian enterprises.

E2.1.62. Records Center Container. A corrugated cardboard box designed to hold one cubic foot of records, either legal or letter size, and used chiefly in records centers. These are the only containers authorized for shipment of OSD records to an FRC. See Enclosure 10 to this Instruction for more details.

E2.1.63. Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.

E2.1.64. Records Manager. The person responsible for or engaged in a records management program. Sometimes called “records officer” or “records administrator.”

E2.1.65. Reference Copies. A collection of extra copies of official records on a specific action used for ready reference.

E2.1.66. Retention Period. The time period that a specific series of records is to be kept. Also called “retention standard.”

E2.1.67. Retirement. The movement of inactive files having a permanent or long-term value to an FRC for storage, servicing, and ultimate disposition. See Transfer.

E2.1.68. Screening. The examination of records to apply access restrictions and to determine the presence of extraneous material (extra copies, classified cover sheets, mail control forms, envelopes, routing slips (except those with remarks of significant value), blank forms, etc.) before filing and before Transfer or Retirement.

E2.1.69. Series. File units or documents arranged in accordance with an approved filing system. Also called "record series."

E2.1.70 Structured Data. Any data that has an enforced composition to the atomic data types. The data is managed by technology, which allows for querying and reporting. Example of structured data is a database.

E2.1.71. Technical Reference Files. Extra copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are properly a part of the office's records.

E2.1.72. Temporary Records. Records designated for retention for a specified period of time and that are then authorized to be destroyed in the CFA area. Temporary records are most commonly found among Housekeeping Records and administrative files.

E2.1.73. Transfer. The movement of records out of office space and equipment to a depository but not necessarily an FRC. (See Retirement.)

E2.1.74. Transfer Number. The control number given to any OSD functional element retiring records to an FRC. This number consists of the Record Group number, fiscal year in which the number was issued, and a four-digit sequential control number. The transfer number is the basic reference for any records shipment and must be used when retrieving papers from any FRC. Transfer numbers are issued and controlled by R&DD. More information is contained in Enclosure 7 to this Instruction.

E2.1.75. Transitory Record. Records of short-term interest (180 days or less), including in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value

E2.1.76. Unscheduled Records. Records whose final disposition has not been approved by the Archivist of the United States.

E2.1.77. Unstructured Data. Any data stored in an unstructured format at the atomic level. Refers to computerized information which does not have a data structure which is easily readable by a machine and requires human intervention to make the data machine readable. Examples of unstructured data are e-mails, spreadsheets, or word processing documents.

E2.1.78. Vital Records. Documents essential to the continued functioning or reconstitution of an organization during and after an emergency and also those documents essential to protecting the rights and interests of that organization and the individuals directly affected by its

activities. Sometimes called "vital files" or "essential records." These records include both emergency-operating and right-and-interests records that are duplicates or extra copies of original records stored off-site.

E2.1.79. Washington National Records Center (WNRC). The official off-site repository for all OSD records. The WNRC is located at Suitland, MD. Other centers may be designated by OSD Field Activities not located in the Washington Metropolitan Area, but not without the concurrence of the particular FRC concerned. Such agreements eventually must be reflected in that Agency's records disposition schedule.

E2.1.80. Working files. (1) Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents. (2) In electronic records, temporary files in auxiliary storage. An accumulation of working files may also include nonrecord material and technical reference files.

E3. ENCLOSURE 3

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E4. ENCLOSURE 4

THE OSD FUNCTIONAL FILES SYSTEM

E4.1. THE OSD FUNCTIONAL FILES SYSTEM

The records disposition schedules contained in ~~Volume II~~ *Reference (i)* are arranged according to a “functional” file system. This enclosure outlines in detail how to create and maintain such a filing system. This is the only type of filing system authorized for the OSD Components.

E4.2. RECORDS ARRANGEMENT

Planning the proper location of records so they are arranged in a manner that facilitates their use and disposition is essential to effectively maintain records. Primary planning considerations are maximizing the ease of reference to the files, minimizing the duplication of records, preserving permanent records, and systematically disposing of all others.

E4.3. FILES PLAN DESIGNATION

Every office within the OSD shall have an office files plan. Records accumulated and used in performing a function shall be located in the organizational element performing the function. All files plans are to be reviewed and approved by the Component Records Management Officer.

E4.3.1. Specialized files of OSD-wide interest and use may be centrally located. The OSD Components may establish centralized record systems in their organizations if they are more effective and convenient.

E4.3.2. The OSD Components shall establish written procedures stating or explaining where the record copies are filed. Each such location is known as an office of record.

E4.3.3. Each office of record is responsible for the custody, maintenance, retirement, and disposition of current documents of the office it serves.

E4.3.4. The following factors shall be considered in designating offices of record:

E4.3.4.1. Access. Records kept sufficiently accessible to the using activities so that maintenance of duplicate files is unnecessary.

E4.3.4.2. Security. Classified material maintained in security containers or secured areas established in accordance with Reference (~~k~~).

E4.3.4.3. Space. Adequate space for present and anticipated needs, including the safety, health, and morale of records personnel. Systems selected to manage electronic records must comply with DoD 5015.2-STD (Reference (~~p~~q)). Consideration shall be given to the retention period of the record when selecting the storage media for electronic records; for permanent records, offices must comply with the requirements in Reference (e). Offices storing large quantities of records shall be given fire protection.

E4.3.4. Arrangement. Files equipment and supplies shall be positioned to provide control and convenience to the maximum number of users. Classified files and containers shall be located away from windows and doors to prevent illicit acquisition of, or unauthorized access to, classified information (Reference (ep)). Files requiring protection because they contain privacy information shall be handled and arranged in accordance with Reference (1).

E4.4. RECORDS EVALUATION

There are two types of Federal records: Temporary (TEMP) and Permanent (PERM) (see Enclosure 2, Definitions and Figure E5.F1). TEMP records are disposed of in the CFA or at an FRC after a specified period of time. PERM records are eventually accessioned by NARA, ceasing to be the property of the originating Agency. The value of records is not necessarily determined by how long they are kept. Many temporary documents (personnel and health records for instance) are important although they have no archival value (see Enclosure 2, Permanent Records), which is a criterion for permanent records. The evaluation process (also called scheduling) is participative and includes the document creator, R&DD, and NARA appraisers, if required (see Figures E4.F1. and F4.F2.).

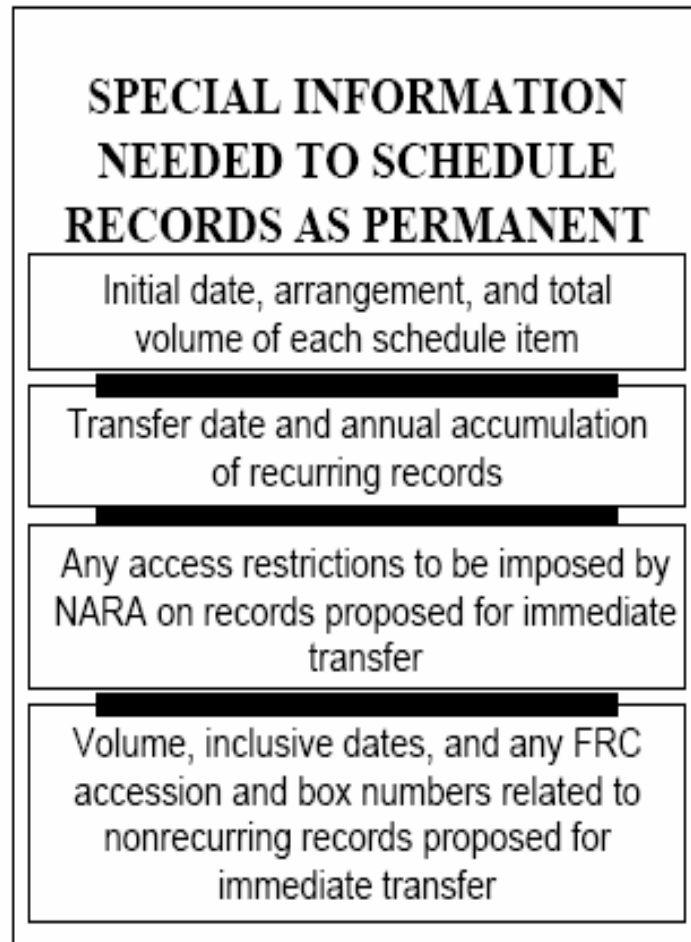


Figure E4.F1
Information Needed for Permanent Records

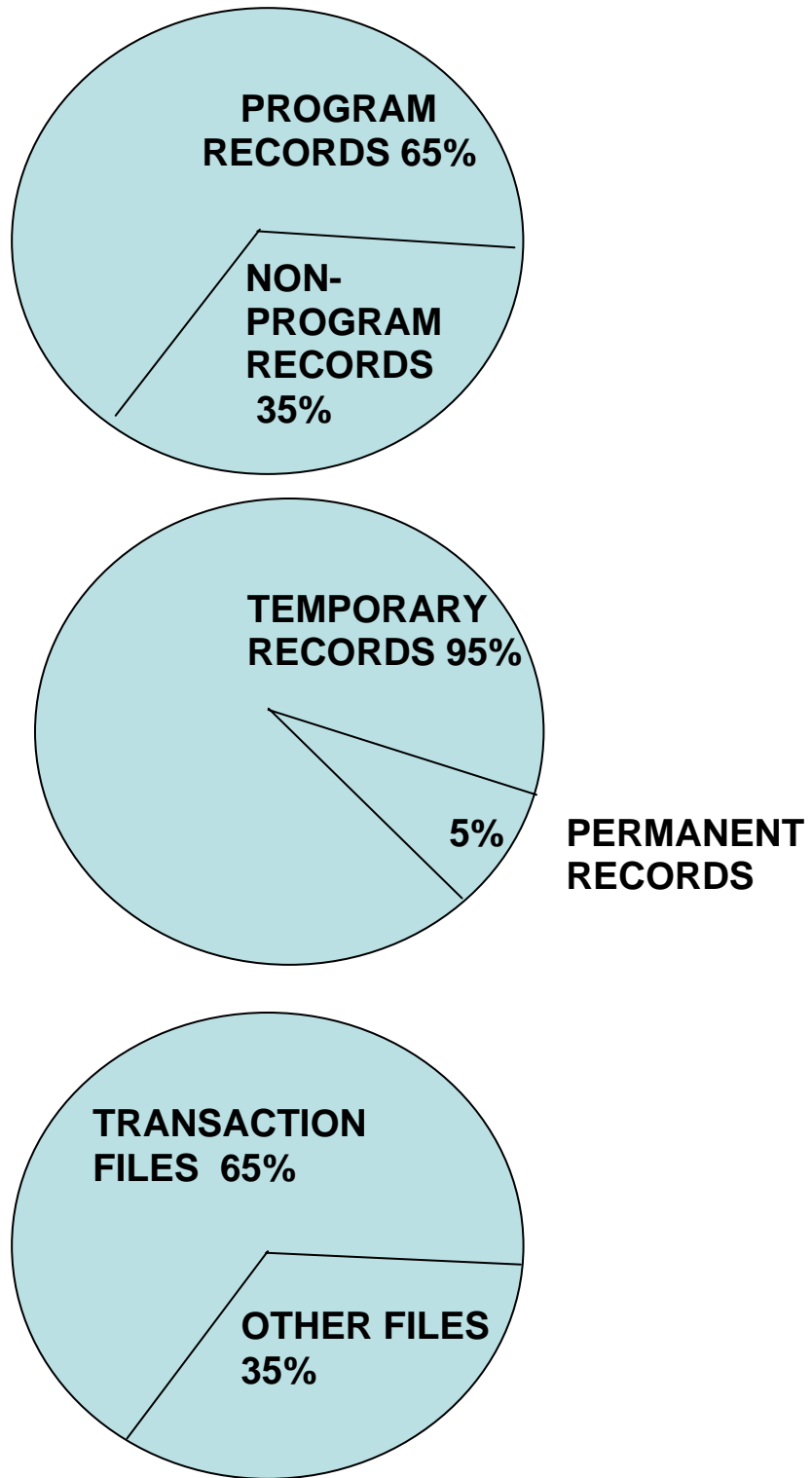


Figure E4.F2 – The Appraisal Process: Three Aspects of Federal Records

E4.5. DOCUMENTATION AND FILE ARRANGEMENT

Documentation concerns the creation of records and the assembly or consolidation of this information; this applies to records in all media (paper, electronic, microfilm, etc). Effective documentation ensures a complete account of actions taken, commitments made, and results achieved. File arrangement is simply the relative positioning of information in a file. Effective file arrangement produces easy retrieval and disposal of documents.

E4.6. BASIC FILE GROUPS

E4.6.1. Subject Files. These are files arranged according to their general content, or information on the same topic brought together in one place to make finding them easier. Subject files consist mainly of general correspondence but may also include forms, reports, and other material that relate to programs and functions but not to specific cases. The purpose of the subject file is to provide complete documentation in the appropriate subject functional area. An example of subject files is office administration files that are broken down into policy, instruction, agreement, committee, staff visit, and reference subject categories.

E4.6.2. Case or Project Files. A case or project file contains material on a specific action, transaction, event, person, project, or other subject. Case files may cover one or several subjects that relate to a particular case. A contract file maintained by an Agency contracting office, for example, might contain proposals, bids, addenda, inspection reports, payment authorizations, correspondence, and legal papers. An Agency contract monitor, on the other hand, would keep a case file containing copies of interim and final technical reports, memorandums, correspondence, and other documents on a contractor's performance and production of a specified deliverable. Another familiar example of a case file is the Official Personnel File. Case filing is the most efficient method for filing and using large quantities of records.

E4.6.2.1. The information may cover one or more subjects on a case or project but shall always be filed by a specific title or number.

E4.6.2.2. A distinguishing feature of a case or project file is the similarity in nature of the information within the case folders.

E4.6.2.3. Information is arranged within each case file in chronological order with the most recent documentation placed at the front of the file folder.

E4.6.2.4. Case or project files are closed upon occurrence of an event or action and placed in an inactive file. Examples of events or actions that would result in placing a file in inactive status would be the separation of personnel, a final contract payment, or project completion.

E4.6.2.5. Case files may be maintained alphabetically by name, title, country, organization, or numerically to permit ease of filing and finding, without resorting to special finding aids such as indexes and guide cards maintained separately.

E4.6.3. Chronological Arrangement. This system is used to arrange files in date sequence when the date is the primary means of reference, and is useful for keeping records in small, manageable groups; usually by year, month, and day. Reading and suspense files are examples of files arranged by date.

E4.6.4. Reference Files. Sometimes called convenience files or working files (exception paragraph E5.6.5), may include extra copies of documents that are officially recorded elsewhere, such as books, pamphlets, and catalogs. These files should be reviewed periodically to retain only those that are current and of significant reference value.

E4.6.5. Working Files. According to Reference (e), working files and similar materials shall be maintained as records, for purposes of adequate and proper documentation, if:

E4.6.5.1. They were circulated or made available to employees, other than the creator, for official purposes such as approval, comment, action, recommendation, follow-up, or to communicate with agency staff about agency business; and

E4.6.5.2. They contain unique information, such as substantive annotations or comments that adds to a proper understanding of the agency's formulation and execution of basic policies, decisions, actions, or responsibilities.

E4.7. FILING ARRANGEMENTS

The first step in arranging a group of files is to determine the major functional categories that apply. These are listed in ~~Volume II~~ *Reference (i)*. Assistance is also available from R&DD in helping make this determination. After selecting the major functions file grouping, a method of arranging each group (see section E.4.6) is selected based on the primary function by which the file shall be requested. Files can be further arranged in one or a combination of the filing arrangements listed below, in accordance with the business or reference needs of the office, except that records not covered by a Privacy Act System Notice (Reference (*Im*)) will not be retrieved by a personal identifier (name, date of birth, or social security number).

E4.7.1. Numerical Arrangement. Numerical files are identified and retrieved by a number, such as a social security number, purchase order, or requisition.

E4.7.2. Chronological Arrangement. Chronological files are identified and retrieved by date.

E4.7.3. Alphabetical Arrangement. Alphabetical files are identified and retrieved by subject and name.

E4.7.3.1. Name. Files are arranged by names of persons, companies, organization or agencies.

E4.7.3.2. Geographical. Geographical files are arranged by a geographical location such as region, country, state, or county.

E4.7.3.3. Subject. Subject titles are arranged alphabetically.

E4.7.4. Alpha Numeric Arrangement. Alphanumerical files are identified and retrieved by an alphabetical numeric arrangement, such as contract files (MDA-011 or H-0012).

E4.7.5. Functional Arrangement. Functional files are identified and retrieved by the function to which the information relates and not necessarily the subject.

E4.8. RECORDS AND FILES SURVEY

Each office of record shall prepare a files plan, listing each file series of records it maintains. The files plan will identify at a minimum the file number, title, brief file description, disposition, media (paper or electronic) and Privacy Act (PA) Systems Notice number, if applicable (see Figure E4.F3). The files plan shall provide a comprehensive system of identification, maintenance, and disposition of all record information. In preparing and maintaining the listing, each office of record shall:

E4.8.1. Review office files plan for accuracy and ensure they are updated as file titles are added, changed, or deleted or office functions change.

E4.8.2. Forward one copy of the files plan to their Component Records Management Officer for review and approval.

E4.8.2. Review the Records Disposition Schedule (~~Volume II Reference (i)~~) annually to ensure that all records are properly identified and the schedule is accurate and complete. If revision is deemed necessary, contact the OSD Records Administrator through the Component Records Management Officer.

ABC Directorate: Administration Office
 Records Liaison or Custodian: Mr. John Doe
 Component Records Management Officer: Ms. Jane Jones (signed)

Date Prepared: September 5, 2006
 Date Approved: September 22, 2006

FN	Title/Brief Description	PA Sys No.	Disposition	Media
101-01	Office General Management: Internal office procedures, hours of duty, and individual duties	NA	DEST when 1 yr old	Paper
101-02	Office Inspection and Surveys: Extracts of inspection reports, security inspection reports, safety inspection reports that pertain only to office operations.	NA	DEST after next survey	Paper
101-08	Office Space Assignment: Administrative spaces assigned to an office.	NA	DEST when SS	Paper
101-09	Office Reading and Informational Files: Outgoing Communications and records received for general information purposes requiring no action.	NA	DEST when 3 months old	Paper
201-11	Orientation and Briefing Files: Orientations and briefings given to visitors and newly assigned individuals.	NA	DEST when SS	Electronic
202-03	Management Survey Files: Individual studies and surveys concerning comprehensive review of organization or particular phase of management.	NA	DEL when 20 years old COFF on Proj completion	Electronic
202-04	Management Improvement Files: Studies, charts, coordination papers, recommendations, statistical data, etc.	NA	DEL when 4 years old COFF on Proj completion	Electronic

Page 1 of 2

Figure E4.F3 – Sample Format for a Files Plan

E4.9. FUNCTIONAL FILE SYSTEM CONCEPT

E4.9.1. The OSD functional file system is based on the concept that each element or office maintains records documenting the performance of each of its functions.

E4.9.2. The functional file system for OSD is a system for identifying and arranging records, following the principle that identification or coding of records, papers, correspondence, and communications is intertwined with the function that they document. The coding and arrangement of files under this system lend themselves to a more flexible arrangement.

E4.10. ORGANIZATION OF THE OSD FILE SYSTEM

The organization of the OSD functional file system provides for the division and identification of record information into several distinct subject series to facilitate referencing and disposition.

E4.10.1. Series 100 pertains to General Office Administration Files. Information in this series relate primarily to the performance of routine administrative and housekeeping operations of any office.

E4.10.2. Series 200 and up pertain to the functional files. The first subdivision of each of these functional series is devoted to administrative files on the particular functions as opposed to the general office files in series 100. These series relate to specific major functional or functional subgroup areas of the OSD. Series identification file number descriptions and instructions for retention and disposition for all the functional file series are contained in ~~Volume~~ *Reference (i)*.

E4.11. APPLICABILITY

The OSD records disposition schedule system shall apply to all record information, regardless of media . Excluded are publications, blank forms, reference materials, personal papers, books in formally organized and officially designated libraries, and reproduction material, such as stencils and offset masters, this is considered nonrecord material (see Enclosure 7).

E4.12. FUNCTIONAL AREA NUMBERING SYSTEM

E5.12.1. The OSD records disposition schedule is set up functionally and does not necessarily follow an organizational relationship The major file series with their numerical designations are:

- 100 Office General Administration Files
- 200 Administration and Management
- 300 Budget and Finance
- 400 Information Management
- 500 Legal Services
- 600 Personnel Administration
- 700 Acquisition and Procurement
- 800 Security and Intelligence
- 900 Health Affairs
- 1000 Education
- 1100 Research and Engineering
- 1200 Analysis and Evaluation

E4.12.1.1. These major series are further divided into categories, as shown in the examples below:

- 401 Records Management
- 402 Information Service Records
- 403 Publication Records

E4.12.1.2. A dash is then employed before designating the file number, a two-digit number, such as 01, is always used to designate a file. Examples are:

- 204-04 Audit Report Files
- 301-17 General Accounting Ledgers

E4.12.1.3. By combining all elements of this numbering system, the following examples demonstrate their composition:

- 300 Budget and Finance
- 301 Budget and Finance Records
- 301-01 Budget Report Files
- 400 Information Management
- 402 Information Service Records
- 402-01 Privacy Act Reports, Administrative, and Request Files

E4.12.1.4. Series and categories are functional breakdowns and not files. Files contain a description of the applicable records and a disposition. Some files identify a specific function, others identify all records relating to a work process, group of related work processes, or a broad program area to which the same length of retention should be applied, the latter are called “buckets.”

E4.12.1.5. File numbers in the 100 series are common to all offices in the OSD and are described in detail in ~~Volume II~~ *Reference (i)*. Each office designates their own specific functional files within this series.

E4.12.1.5.1. A files plan of all files kept in an office shall be maintained by each office and made available to each employee.

E4.12.1.5.2. Each office shall determine the functions that they are primarily responsible for and identify the records that correspond to their function from ~~Volume II~~ *Reference (i)*. Records within a file number may be further arranged by date (Chron files),

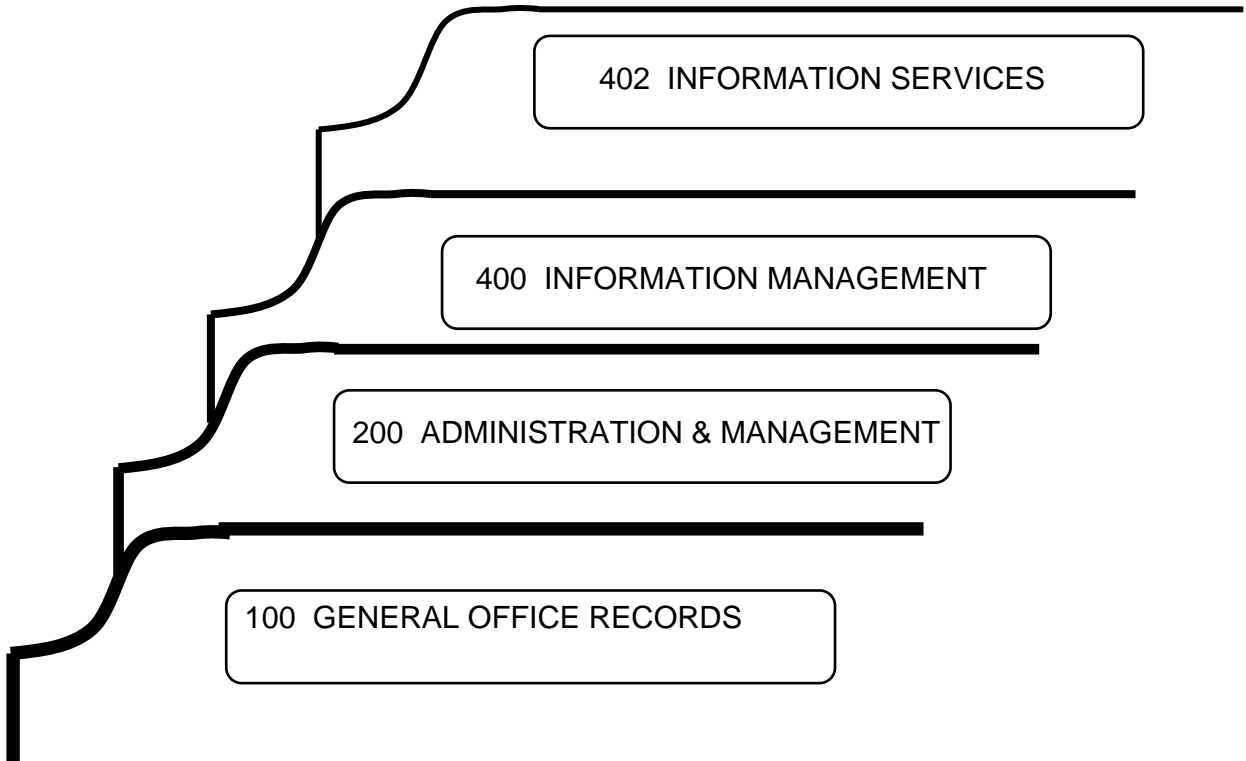
number arrangement (Project number), or alphabetical (subject, name, or organization). Records should be arranged in a manner that best suits the business needs of the office.

E4.12.1.5.3. Records arranged by a personal identifier (name of an individual, SSN, birth date) are subject to the PA Systems of Records (Reference (hm)) and must identify the notice number on the label.

E4.13. FILES CONTROL

E4.13.1. An effective filing system depends upon arranging of guides and folders, preparing and filing materials, retrieving the files and charging them out, keeping the files orderly, and transferring or destroying inactive or files in accordance with approved disposition standards.

E4.13.2. Any filing system is acceptable that employs the procedures and conforms to the disposition schedules in ~~Volume II~~ *Reference (i)*. However, the procedures explained in section E4.14., below, and illustrated in Figures E4.F4. through E4.F7. of this enclosure, should be followed as closely as practicable to ensure uniformity and efficiency in storing, retrieving, and disposing of paper files. Labels must have all the information required to identify the information or papers in the folders, but they do not necessarily have to be in the exact format shown in Figures E4.F4, through E4.F7. When variations are permitted, they should be applied as temporary measures only, and the standards prescribed herein should be adopted as soon as practical. The best time to do that is when new files are created or old ones are remade



GUIDE CARD LABELS – Breakdown of guide cards is authorized if files within one subfunctional category are voluminous, e.g., the 400 category (Information Management) is further divided with guide cards for 401, 402 etc..

101-01 thru 101-20 (05)

Sample label entry for drawer that contains two or more records series. No disposition is shown on the label because it varies among the several record series in the drawer.

(05)
101-09 READING FILES
COFF 31 DEC 05
DEST JAN 09

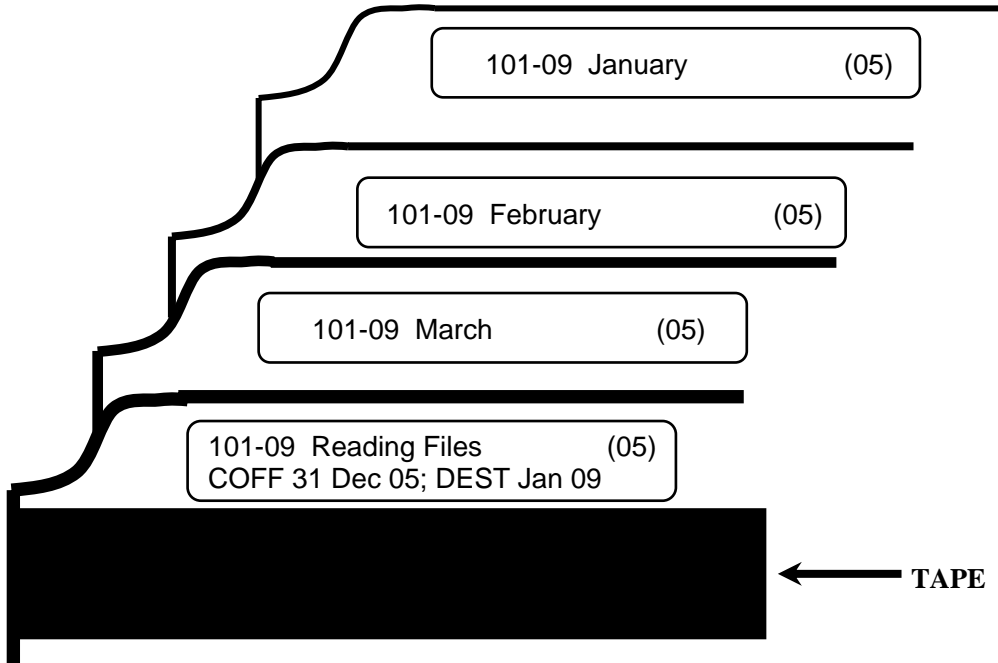
Sample label entry for drawer that contains one (and only one) record type. Note that drawer label is identical to folder label in this case.

Figure E4.F4 – Examples of Guide Cards and Drawer Label Entries

E4.14. PREPARING AND USING GUIDE CARDS, FILE FOLDERS, AND LABELS

E4.14.1. Guide Cards. Prepare and use guide cards to identify each major file series or to identify and support portions of the series: type standard labels and attach them to the guide card tab; do not retire or discard file guides when files are disposed of; they should be reused.

E4.14.2. File Folders. Type identifying data on standard labels, positioning them on the folders as outlined in paragraph E4.14.4. When the material in any one folder reaches normal capacity of approximately three-fourths of an inch in thickness, prepare another one. The second folder should begin at a logical point, such as the beginning of a month or a calendar quarter. Place folders behind related guides. When there are several folders under one number a "dummy" file folder - with a label that shows all the required disposition information but is not used to file documents - may be used as the first folder in the file series. This saves repeating all the same information on the succeeding folders in that series, which require only the basic series number followed by the file name (see Figure E4.F5.).



USE OF “DUMMY” FOLDER – When there are several folders within one file number, a “dummy” file folder may be used as the first in the series. Tape it shut so that no documents can be inadvertently file in it. Subsequent folder labels need only show the file number, contents and year of accumulation (if

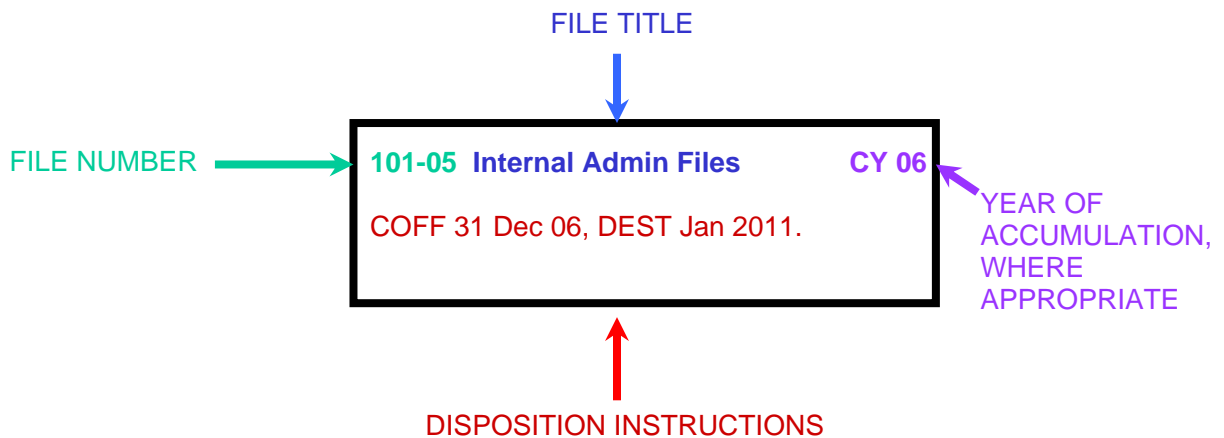


Figure E4.F5 – Samples of Folder Label Entries



Figure E4.F6 – Samples of Label Entries for Binders Containing Reference Publications

E4.14.3. Labels

E4.14.3.1. Preparation of Labels. Label all file folders, binders, or electronic media with the file number, title, year file created, cut off date, disposition instructions, and PA Systems of Records notice number, if applicable (see Figures E4.F5 through E4.F7). The exception is when a dummy file folder is used. Subtitles and commonly accepted abbreviations may be used:

402-12 Office Classified Document Receipt Files

(01) COFF 31Dec 01, DEST Jan 04

702-02 Small and Disadvantaged Business Utilization Case Files

(04) COFF Dec 04, PIF Jan 05

TRF to the WNRC when SS

801-03 Major Investigations and Operations Files

(01) COFF 31 Dec 01, PIF Jan 03

PERM TRF National Archives 1/2026

E4.14.3.2. Labels for Electronic Media. Type identifying data on standard labels, positioning them on the media (diskettes, compact disks (CDs), DVDs, external hard drives, etc) as shown in Figure E4.F7. Labels should contain FN, title, date, author or creator, office name, type of record or name of office (if applicable), PA systems notice and/or security classification (if applicable), software version, and file extension. All files should have a standardized naming convention (X:\Research Services\Meetings\2005_01_01_04Agenda.doc) and date format (YYYYDDMM). In addition the following files must be included in ASCII text format in the media.

E4.14.3.2.1. A readme.txt file which contains the author's name, agency, and specific information on the diskettes, CDs/DVDs. Example: Information was prepared by John Doe, Agency XYZ. Information herein contains the Audit Reports for the first quarter of 2002.

E4.14.3.2.2. A directory for diskettes, CDs/DVDs, external hard drives only if they contain various types of information. The directory should contain the number of diskettes, CDs/DVDs (if more than one is required) and type of information contained, for example: Audit reports, background information, and IG/GAO responses.

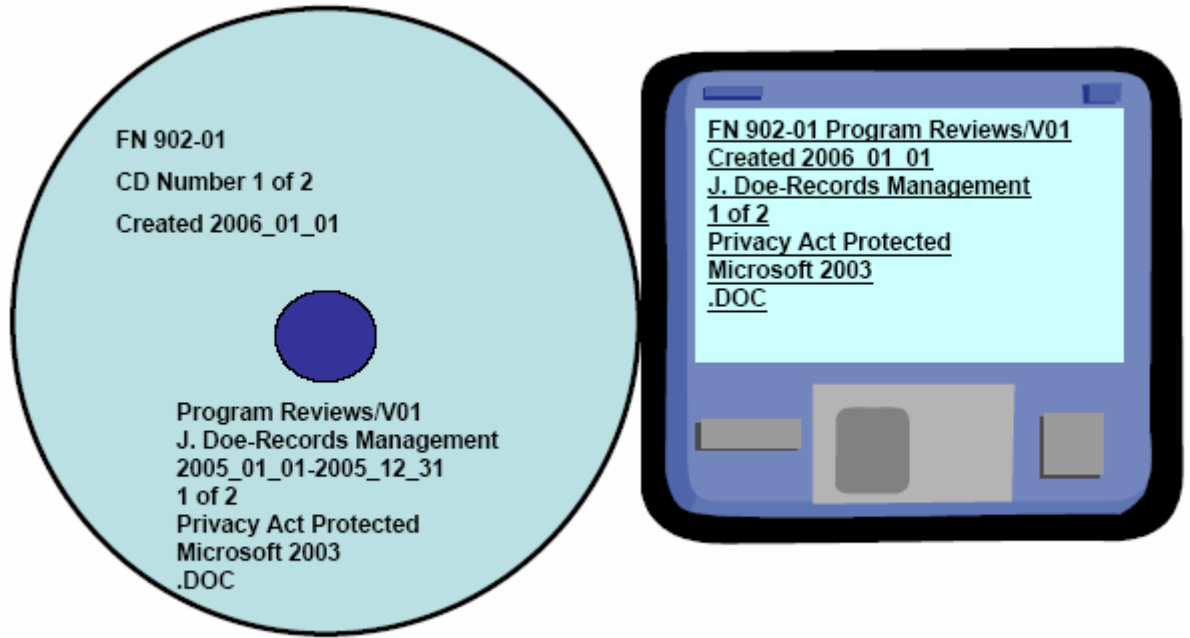


Figure E4.F6 – Samples of Label Entries for Electronic Media

E4.14.3.4. Label Abbreviations. In addition to commonly used abbreviations, use the following in preparing labels:

- | | |
|------------|---|
| CFA | Current Files Area |
| COFF | Cut off |
| DEST | Destroy |
| NLN | No longer needed |
| NPRC (CIV) | National Personnel Records Center, GSA (Civilian Personnel Records)
111 Winnebago St., St. Louis, Missouri 63118 |
| NPRC (MIL) | National Personnel Records GSA (Military Personnel Records)
9700 Page Boulevard, St. Louis, Missouri 63132 |
| OBSOL | Obsolete |
| PERM | Permanent |
| PIF | Place in Inactive File |
| REFP | Reference paper |
| RET | Retire |
| SS | Superseded |
| TRF | Transfer |
| WNRC | Washington National Records Center (WNRC), Suitland, MD 20746 |

E4.15. MANAGEMENT OF DOCUMENTS/INFORMATION

Personnel shall:

E5.15.1. Prepare information for filing when all actions are completed, when record information is self-identifying, or when an official has requested that documentation be maintained.

E4.15.2. Ensure that each record set is complete and that enclosures or related papers are retained or accounted for in both paper and electronic filing systems.

E4.15.3. Remove or destroy identical or duplicate copies of information before filing. Ensure that duplicate copies of such records retained for convenience are identified as such and any duplicates or versions of records retained in computers that are no longer needed for reference are deleted, per ~~Volume II~~ *Reference (i)*.

E4.15.4. Remove all mail control forms, e-mail, classified cover sheets, envelopes, and routing slips, except those containing remarks or information of significant record value.

E4.15.5. Mend or reinforce torn or frayed temporary papers with transparent tape. Do not tape nor attempt to mend permanent documents. (Upon retirement, torn or frayed permanent documents should be supported as best as possible in new file folders. NARA personnel shall mend such documents using methods and materials designed to ensure their preservation.)

E4.15.6. Assemble related documents for filing, as indicated below, and file by the date of the latest action.

E4.15.6.1. The latest action on top.

E4.15.6.2. The basic paper.

E4.15.6.3. Endorsement, beginning with the earliest paper.

E4.15.6.4. Enclosures in numerical order.

E4.15.6.5. Supporting papers (to include printed email, to include return/read receipts).

E4.15.7. Staple related documents together in the upper left corner. When the material is too thick to use wire staples, use pronged fasteners to fasten related material.

E4.15.8. Bring forward related documents, if appropriate. Combine documents of a later date that relate or refer to documents of an earlier date, only when reference to them is necessary. A reference to earlier document does not necessarily require that documents be combined. Do not combine:

E4.15.8.1. Recurring reports with the policy documents requiring such reports.

E4.15.8.2. Applications with the instructions governing their submission.

E4.15.8.3. Documents on the same subject on different transactions, such as reports of inspection of two different organizations.

E4.15.8.4. Use a cross-reference sheet for documents brought forward to maintain continuity.

E4.15.9. File papers loosely in the proper folder with the latest date in front. Use pronged fasteners when the files are frequently used, when sequence of arrangement is of special importance, and when all documents pertain to the same transaction case or project.

E4.15.10. Keep folder labels visible by neatly arranging papers in the folders. When the contents of the folder increase to the point that the papers begin to obscure folder labels, crease the bottom front of the folder. When contents of the folder reach three-fourths of an inch, make a new folder bearing the same file designation and place it in front of the full folder, showing inclusive dates on the folders.

E4.15.11. Prevent overcrowding files by allowing at least 4 inches of space in each active file drawer to permit sufficient working space.

E4.15.12. Avoid cluttering the files. File bulky material separately in storage equipment suited to its size. Maintain this material in file classification, date, or serial number order. Make a cross-reference to the bulky material and annotate in a conspicuous location or with the filed papers. Mark the bulky material with storage location and file number to associate it with related information kept in the primary location.

E4.15.13. Ensure that all electronic record files are complete, identified, and maintain in accordance with this AI and DoD requirements.

E4.15.14. Ensure that all action in a file is completed before cutting off the record and applying the disposition instructions.

E4.16. CODING DOCUMENTS FOR FILING

After documents have been prepared for filing, the next step is to code or categorize them. Coding segregates the papers into logical categories for ease of filing and finding. The OSD Component personnel shall adhere to the following guidelines for identifying documents to be filed:

E4.16.1. Exercise care in determining their administrative, legal, and research value to OSD and WHS; their relationship to the organization; usefulness as archival documents; and the costs

of keeping them. See Records Disposition Schedules, ~~Volume II~~ *Reference (i)*, and the office files plan for proper file number.

E4.16.2. In selecting a file number, first determine the functional series that represents the subject matter, and the specific subdivision.

E4.16.3. Select the proper file designation by referring to the series and title descriptions listed in ~~Volume II~~ *Reference (i)*. (See Figure E4.F5.)

E4.16.4. Indicate the filing designation (file number) on the right margin of the document.

E4.16.5. If the material being filed involves one or more subjects by which it may be requested, indicate the cross-reference file number for the additional subject by placing it below the file number shown for the major subject. The cross-reference is preceded by an "X" to distinguish it from the major subject file number and to indicate that it is a cross-reference.

E4.17. CROSS-REFERENCE

E4.17.1. Cross-references are made to locate documents promptly when they are needed. A cross-reference is a paper filed under one classification and date to show the location of material filed elsewhere.

E4.17.2. Frequently an extra copy can be annotated to show where the original is located and then filed under the cross reference number. When this is not feasible, a blank sheet, conspicuously annotated to show the record copy location, may be used instead.

E4.18. LABELING FILE DRAWERS

File drawers shall be labeled to facilitate retrieval, and discretion used so that identification numbers of markings do not indicate the classifications of material stored therein. Only the major file series and inclusive dates of the material are indicated (see Figure E4.F5).

E4.19. CLASSIFIED INFORMATION

E4.19.1. Classified files shall be safeguarded in accordance with Reference (jk).

E4.19.2. The interfiling of unclassified and classified information shall be restricted to the information that directly supports, explains, or documents the record of the action or transaction.

E4.19.3. Classified information or materials shall be filed or stored in approved classified containers, systems, or secure areas appropriate with the classification of the material to be protected.

E4.20. FILES CUTOFF PROCEDURES

E4.20.1. "Files cutoff" is the process of transferring a file from the active to the inactive state. Generally, this is expressed on the file label as "COFF Dec 31, 2001," followed by transfer or destruction information. Until the file is transferred to an FRC or destroyed, it is held for reference only; no new documents shall be added after the cut off date. Inactive files must be kept separate from active ones to guard against misfiles. A new folder is put into the active files to replace the old one.

E4.20.2. On an annual or fiscal year basis, whichever is appropriate, all offices shall cut off files and separate active from inactive; retire, transfer, or destroy eligible material according to disposition procedures contained in ~~Volume II-Reference~~ (i), and review and destroy all duplicate or extraneous materials. Cut off:

E4.20.2.1. Calendar year files on December 31.

E4.20.2.2. Fiscal year files on September 30.

E4.20.2.3. Files with a retention period of less than 1 year, on a monthly or quarterly basis.

E4.20.2.4. Files maintained as case or project files are cut off upon the occurrence of a certain event, such as separation of personnel, final contract payment, or project completion. Upon cut off, move such files to an inactive file until they are eligible for destruction or transfer to a FRC, in accordance with disposition procedures contained in ~~Volume II~~ *Reference (i)*.

E5. ENCLOSURE 5

FILING EQUIPMENT AND SUPPLIES

E5.1. FILING EQUIPMENT AND SUPPLIES

This enclosure sets forth standards governing the procurement and use of filing equipment and supplies from the perspective of an efficient and cost-effective records management program.

E5.2. GENERAL

Filing equipment includes all containers, machines, devices, and furniture used for maintaining and servicing files, exclusive of records storage boxes.

E5.3. EQUIPMENT CONSERVATION

E5.3.1. The use of proper equipment and supplies saves time for professional and clerical personnel. Filing equipment used by the OSD shall be efficient and economical to meet requirements. Filing equipment may not be requested solely to improve appearance, office decor, or to acquire the latest design. Used or reconditioned equipment shall be used when available. Excess equipment shall be returned to Supply for redistribution.

E5.3.2. Storing large amounts of blank forms, publications, and other office supplies in filing cabinets shall be avoided.

E5.3.3. Managers must remain aware of and consider alternatives to traditional storage methods, such as conversion of hardcopy records to electronic media when economic analysis indicates that they are workable and shall decrease cost or improve productivity. Consideration should always be given to maintaining records electronically, when possible.

E5.3.4. Agency records officers and administrators must ensure strict adherence to the disposition schedules at ~~Volume II~~ *Reference (i)* to free filing equipment by transferring files to an FRC as soon as they are eligible, or to improve processing time by maintaining electronic information on near-line or off-line storage.

E5.4. STANDARD FILING EQUIPMENT

E5.4.1. Standard Equipment. Standard equipment listed in the GSA Store Catalog, Federal Supply Schedules, and the Defense Services Fund Catalog shall be used. Nonstandard equipment shall be obtained only when completely justified and the acquisition is approved by the Component Records Management Officer.

E5.4.2. File Cabinets. Careful consideration shall be given to selecting the best file cabinets for a particular files operation. The 5-drawer filing cabinets have been standardized because they provide 25 percent more filing area in the same amount of floor space as the 4-drawer cabinets.

E5.4.3. Containers for Safeguarding Classified Material. Classified documents and material shall be stored in security containers and filing equipment authorized by Reference (j)(k).

E5.4.4. Shelf Files. Shelf filing equipment costs less than standard file cabinets, requires less office space, and permits ease of filing operations. Standard shelf filing equipment may be more appropriate than filing cabinets for records that are alphabetically or numerically arranged, such as case or project files. They are not authorized for storage of classified material unless the units are located within secured areas established and protected in accordance with Reference (j)(k). Requests for open-shelf filing must be submitted to the Component Records Management Officer for recommendations. Shelf filing equipment shall be considered when the records total 50 cubic feet or more (exceptions must be approved by the Component Records Management Officer) and when:

E5.4.4.1. The purchase of filing equipment is contemplated.

E5.4.4.2. Additional space for filing operations is required and only a limited amount of space is available.

E5.4.4.3. The filing station is in a relatively permanent location.

E5.4.4.4. The area is relatively free from excessive dust and other adverse conditions.

E5.4.4.5. The area provides the degree of security required.

E5.5. REQUESTING AND CONTROLLING SPECIALIZED FILING EQUIPMENT

Requests for specialized, nonstandard file equipment not listed in GSA or other Government catalogs shall be submitted through the Component Records Management Officer, who shall review the requests and the file operations involved.

E5.6. REQUISITIONING FILE CABINETS

Requisitions for additional standard file equipment shall be reviewed by the Component Records Management Officer for approval or denial. Review by the Component Records Management Officer shall include:

E5.6.1. A survey of the files of the requisitioning office to determine whether the requirement for additional space may be obtained by disposal of eligible records, and to ensure that existing equipment is properly utilized.

E5.6.2. That all records are included on the Records Disposition Schedule, and maintained in accordance with ~~Volume H~~ *Reference (i)*.

E5.6.3. That all eligible non-current permanent and long-term records have been retired to the appropriate FRCs.

E5.6.4. Ensuring that secure filing equipment is utilized for storage of classified documents. Exceptions to this policy may be made when small amounts of unclassified files are stored in otherwise empty file space and additional file equipment would have to be obtained to comply with this Instruction. All security filing equipment not utilized for classified material shall be exchanged for nonsecurity equipment. The above provisions apply only to the control of existing equipment.

E5.7. USE OF MICROGRAPHICS

See 36 CFR Part 1230 of Reference (e).

E5.8. USE OF ELECTRONIC MEDIA AND SYSTEMS.

See Enclosure 8 and Reference (~~p~~q).

E6. ENCLOSURE 6

DISPOSITION PROCEDURES

E6.1. GENERAL

The OSD Records Management Program is designed to preserve records of continuing value; systematically eliminate all other records; and remove less active records to lower cost storage space. This ensures preservation of permanent records, and reduces the cost and effort of recordkeeping. To achieve these objectives, standard procedures have been established for the disposition of all OSD records.

E6.2. SOURCE OF RETENTION PERIODS

Retention periods for categories of OSD files are published in the disposition instructions in ~~Volume II~~ *Reference (i)*. Retention periods cited therein have been established in accordance with records management regulations approved by the Archivist of the United States either upon specific application (see SF 115, E6.F1.) or through the GRSs. Recommendations for changes to retention periods and disposition procedures shall be submitted to the OSD Records Administrator for approval. Records that do not have NARA approved disposition cannot be destroyed or deleted

.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-330-02-1	DATE RECEIVED 10/27/2002
1. FROM (Agency or establishment) Department of Defense		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of the Secretary of Defense		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Washington Headquarters Services		DATE	ARCHIVIST OF THE UNITED STATES
4. NAME OF PERSON WITH WHOM TO CONFER D. Fisher	5. TELEPHONE 555-1111		
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>3</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 10/22/2002	SIGNATURE OF AGENCY REPRESENTATIVE C.N. Potter	TITLE OSD Records Administrator	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	OFFICE OF THE SECRETARY OF DEFENSE (OSD) Background: These records are by the OSD components and field activities and relate to the mission of each functional element. Disposition instructions have been modified to apply to records in all media and formats. 103-01 Policy Files. These files accumulate in the offices of the Secretary and Deputy Secretary of Defense, immediate offices of the Under and Assistant Secretaries of Defense, or any element of any OSD Component involved in making, promulgating, or analyzing policy relating to a Component's mission. Disposition: Permanent, transfer to the National Archives when 25 years old, in a format that meets NARA standards at the time of transfer. Cutoff when superseded or obsolete.	NC1-330-77-33	
2	103-02 Instruction files. Documents on preparing, coordinating, issuing, and interpreting directives, regulatory instructions and comparable instructional material. Included are coordinating actions, studies, interpretations and related information. Disposition: Permanent, transfer to the National Archives when 25 years old, in a format that meets NARA standards at the time of transfer. Cut off annually or when superseded or obsolete, as reference needs require. See Attached Pages.		

115-109

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

Figure E6.F1. Standard Form 115 (SF 115), "Request for Records Disposition Authority"

E6.3. CHANGES TO RETENTION PERIODS

Retention periods are changed as a result of the continuing evaluation of files and changes in statutory, legal, financial, and administrative requirements (see Figure E6.F2). Changes to the retention periods are submitted to the Archivist of the United States for approval (SF 115). The following general rules apply when changing the retention of a record:

E6.3.1. Increased Retention Period. If the change increases the retention period, the new retention period shall be applied to all categories of files concerned, regardless of where they are maintained or when they were created. Those inactive and cut off files affected by the change shall be brought under the new retention period.

E6.3.2. Reduced Retention Period. If the change reduces the retention period, such period shall be applied retroactively, unless it is impractical or uneconomical. For example, if the new retention period can be applied to inactive files only by screening files and marking folders on an individual basis, it would normally be more economical to retain the files for the longer period than to attempt to apply the change.

E6.3.3. Conversion of Paper Records to Electronic Media. Record information previously created and maintained in paper and converted to or created in information systems will have to be re-evaluated, to ensure that new records have not resulted due to the nature of the software or media. For example system has the capability to create an index or document information not previously captured or created in the paper-based system.

E6.3.4. Record Freezes or Moratoriums. The destruction of the affected record information is suspended until the record freeze or moratoriums are lifted. The requirement to suspend the retention period is court-or agency-imposed, and all affected record information is retained until all litigation or disputes are resolved. Notification of record freezes or moratoriums are provided to the OSD Records Administrator from the Department of Justice or the DoD General Counsel. These records freezes or moratoriums are usually accompanied by a records search for all applicable information. Records searches must be coordinated with the OSD Records Administrator who will notify the OSD Component Records Management Officers and NARA of the requested search and records freeze, as applicable. Each organization is responsible for notifying its subordinate activities that a freeze exists or has been lifted.

E6.3.5. Unscheduled (Unidentified) Records. Unscheduled records are records which are not identified in the GRS or cannot be filed under any file number in the agency's disposition schedule. These records shall be brought to the attention of the OSD Records Administrator for scheduling (SF 115 process). Unscheduled records shall be maintained in the CFA and treated like permanent records until disposition instructions have been approved by NARA.

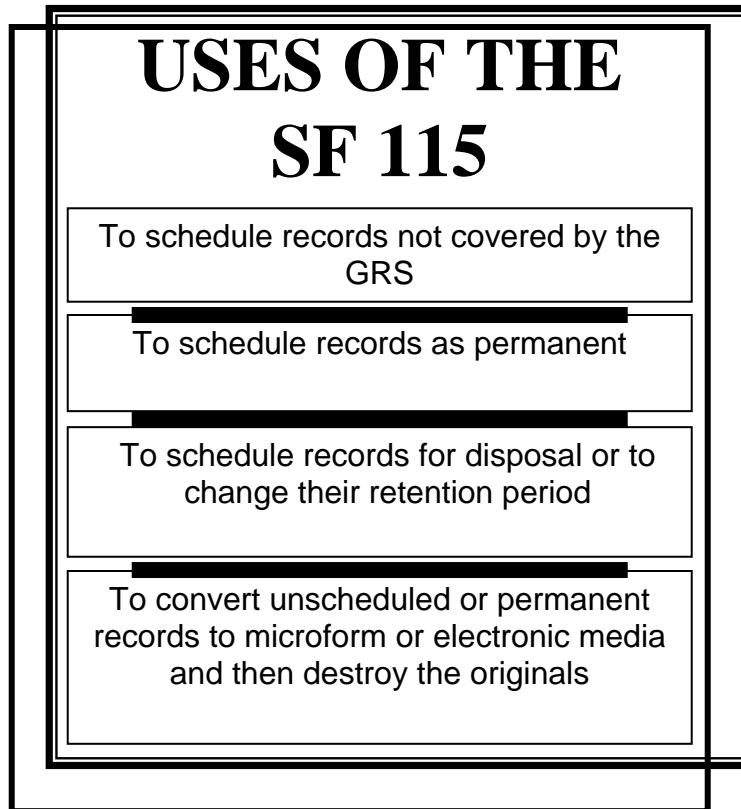


Figure E6.F2. Uses of the SF 115

E6.4. DISPOSITION INSTRUCTION

The disposition instructions in ~~Volume II~~ *Reference (i)* provide the overall retention period for the files involved (for example, destroy after 2 years, destroy after 10 years, or retire 3 years after cut off). The disposal period begins at the date the file is cut off or closed, unless otherwise indicated. The periods or retention normally shall be accomplished as shown in paragraphs E6.4.1. through E6.4.4., below. Examples of specific instructions containing exceptions to the general time periods and events are: "destroy when registrant becomes 36 years of age; withdraw and destroy on departure of the individual; destroy when superseded; destroy after next survey." Following are examples of how disposition instructions are to read on file labels maintained on a calendar basis:

E6.4.1. Files with 1-Month Retention. Files having a retention period of 1 month or 30 days shall be cut off at the end of the month, held 1 month in the CFA, and then destroyed. Example: COFF April 30, 2002, DEST June 2002.

E6.4.2. Files with 3-Month Retention. Files having a retention period of 3 months or 90 days shall be cut off at the end of each quarter, held 3 months in the CFA and then destroyed. Example: COFF June 30, 2002, DEST Oct 2002.

E6.4.3. Files with 1-Year Retention. Files having a retention period of 1 year shall be cut off at the end of the calendar or fiscal year held in the CFA, and then destroyed. Example:

Calendar year file: COFF Dec 31, 2002, DEST Jan 2004

Fiscal year file: COFF Sept 30, 2002, DEST Oct 2003

E6.4.4. Files of Two to 10-Year Retention. Files having retention period of 2 to 10 years shall be cut off at the end of the calendar or fiscal year; held 1 year after cut off in the CFA; and destroyed or retired as provided by the schedules in ~~Volume II~~ *Reference (i)*.

Calendar year file: COFF Dec 31, 2002, RET to MPRC
Jan 2004, DEST Jan 2010

Fiscal year file: COFF Sept 30, 2002, RET to WNRC
Oct 2003, DEST Oct 2009

E6.4.5. Files with a Flexible Retention. Files having a flexible retention period such as delete, destroy or transfer when 5 to 7 years old, shall be cut off at the end of the calendar or fiscal year; retained for at least 5 years but no longer than 7 years; and destroyed or transferred as provided by the schedules in ~~Volume II~~ *Reference (i)*. The amount of time the record is retained is determined by the business needs of the office.

E6.4.6. Files with Event Retention. Files having an event disposition such as cutoff when superseded, obsolete, or property is turned in, shall be maintain in the active files into the event occurs; transferred to inactive files and cut off at the end of the calendar or fiscal year; held for time period specified after the event; and destroyed or retired as provided by the schedules in ~~Volume II~~ *Reference (i)*.

Disposition Destroy/Delete 15 years after next GAO Audit

Active file: COFF upon next GAO Audit

Inactive file: COFF 31 Dec 05, DEST Jan 2016

E6.4.7. Files that are unscheduled. Files having no approved NARA retention period shall be cut off at the end of the calendar or fiscal year; and maintained in the CFA until disposition instructions have been published in ~~Volume II~~ *Reference (i)*. Example: COFF June 30, 2002, Retain in CFA until disposition instructions are approved.

E6.5. DISPOSITION PROCEDURES

OSD Components shall:

E6.5.1. Retire records designated for annual retirement on a calendar or fiscal year basis to the appropriate FRC.

E6.5.2. Withdraw from the active file and destroy documents that are disposable upon an event or action.

E6.5.3. Terminate files that are disposable after a specific retention period following an event or an action, such as audit, final payment, or completion of a project, on the occurrence of the event or accomplishment of the action. Terminate such files by withdrawing them from the active file and placing them in an inactive file, or in the case of large volumes, simply by discontinuing further filing within the files. Cut off inactive or terminated files and effect disposition in the same manner as for other files with the same retention period.

E6.5.4. Unless otherwise specified in the disposition instructions, cut off permanent files at the end of the calendar or fiscal year. Start new folders for the new year, and place the old folder in with the inactive files.

E6.5.5. Include the Component Records Management Officer in the development of potential information systems or enhancement of current systems to evaluate the system for its record creating potential and determine if records management requirements are needed.

E6.6. TRANSFER OF FILES

The transfer of the files from one organization to another is permitted only when a transfer of functions from one Component to another requires the transfer of the files. The order directing the transfer of functions shall provide for the transfer of files. Records transmittal procedures as outlined in Enclosure 10 to this Instruction shall be accomplished to properly document the files transfer.

E6.7. TRANSFER TO OTHER GOVERNMENT AGENCIES

E6.7.1. Transfer to National Archives. The OSD shall transfer all permanent files to the FRC at periodic intervals so that they may be incorporated into the permanent archives of the Government of the United States. Arrangement for the transfer of the files and the establishment of procedures for their use are the responsibility of the OSD Records Administrator. This is accomplished using SF 258 (see Figure E6.F3.).

E6.7.2. Transfer to Other Agencies

E6.7.2.1. NARA regulations prohibit the transfer of files from one Government Agency to another without prior approval of the Archivist of the United States, except when:

E6.7.2.1.1. Records are transferred to a NARA FRC.

E6.7.2.1.2. The transfer of records or functions or both is required by statute, Executive order, Presidential reorganization plan, or by specific determination made by this instruction, ruling, or agreement.

E6.7.2.2. Authority to transfer OSD records to another Government Agency must be obtained from the OSD Records Administrator. Recommendations for transfer submitted for the OSD Records Administrator shall include a concise description of the files to be transferred; an estimate of the volume in linear feet; name and location of the Agency to which the files are to be transferred; and the reasons for the transfer.

E6.8. NATO DOCUMENTS

E6.8.1. Reference (ep) contains control instructions for NATO documents and refers to applicable disposal authorities. NATO documents classified Secret and below may be maintained with other OSD records when it is determined that they form an integral part of a file of classified records of permanent value.

E6.8.2. Control and Disposal Procedures

E6.8.2.1. Classified document receipts, destruction certificates, and registers relating to NATO, Top Secret, and Secret documents that reflect the final disposition of documents in a subregistry shall be disposed of in accordance with Reference (ep).

E6.8.2.2. Document receipts, destruction certificates, and other control files relating to NATO or documents having a lower security classification than those indicated above shall be disposed of in accordance with ~~Volume II~~ Reference (i).

E6.9. DISPOSITION OF FILES AND CHANGES OF STATUS

E6.9.1. Transfer of Functions. When a function is transferred from one OSD organization to another, the records in the CFA relating to the transferred function shall be transferred to the gaining organization, where they are maintained as a separate entity to preserve their administrative origin. Inactive (cut off) files shall be retired to the FRC. A list of the files transferred to the gaining organization, and a copy of the SF 135 listing inactive files retired to the FRC shall be given to the Records Manager of the gaining organization.

E6.9.2. Redesignation or Reorganization. On redesignation without transfer of function, files shall be continued and cut off in the same manner as though no change had occurred.

E6.9.3. Discontinuance of an OSD Component. On discontinuance without transfer of functions, files not authorized for immediate disposal shall be retired to the designated FRC. These procedures are equally applicable to any specially organized element such as a board, committee, council, or commission.

E6.9.4. Damage, Alienation, and Unauthorized Destruction of Records. Each OSD Component is responsible for preventing the loss of Federal records

E6.9.4.1. Records destroyed or damaged due to accidental loss or destruction, such as fire or water, are to be reconstructed by the office of record. Records can be reconstructed from information retained in other file series, non-record materials, or computers. Documentation concerning the reconstruction and cross-referencing materials should also be included to aid in the identification of the record. Information that cannot be reconstructed should be annotated on an SF 135, to be included with the rest of the files series, upon retirement.

E6.9.4.2. Federal records may not be removed from the legal or physical custody of OSD, or destroyed without regard to the provisions listed in this instruction.

E6.9.4.3. The maximum penalty for the willful and unlawful destruction, damage, or alienation of Federal records is a \$2,000 fine, 3 years in jail, or both (Reference (e)) and Sections 641 and 2071 of 18 USC (Reference (e)).

E6.10. RECORD SEARCHES AND PRESERVATION ORDERS

E6.10.1. Record searches and orders to preserve records must be coordinated with the OSD Records Administrator (see E6.3.4), except for searches in response to requests under the Freedom of Information and Privacy Acts. Coordination of search and preservation taskings is essential before issuing document search, retrieval, or collection instructions. Vague directions and lack of coordination can lead to loss of data or documents subject to a preservation order. Preservation orders are not limited to information that constitutes the legal definition of a “record,” but may include drafts, working papers, and non-record materials, regardless of media, as well as electronic data, in the organization’s possession or control. Each OSD Component is responsible for preventing the loss of responsive information required for litigation, investigation, audit, or subpoena.

E6.10.2. Any decision to direct a search and preservation of paper or electronic documents and data, is a team effort involving general counsel, records management officials, supporting information systems professionals and, in some cases, record custodians. Some searches will require extensive coordination and planning; others can be tasked out with a less formal coordination process. Potentially, end-user representatives, other individuals with knowledge of the relevant computer systems and how data is used, such as information security personnel may

need to plan the response. The tasking authority should identify a lead office or individual who will act as the organization's spokesperson or witness on issues relating to the scope of electronic and paper document production. If documents and data are collected in response to a search, they must first be reviewed for matters of privilege, classified information security, or other control requirements before release.

E6.10.3. Essential considerations for the preservation planning team responding to notices of records holds or searches for litigation:

E6.10.3.1. Identify the Components, Agencies, Offices and officials whose files (paper or electronic) are reasonably likely to contain relevant documents and information.

E6.10.3.2. Identify a lead office responsible for consolidating the listing documents and data (and assembling the initial collection if required).

E6.10.3.3. Identify contacts in OGC and OSD Records Administrator who can address questions regarding preservation duties.

E6.10.3.4. Identify an appropriate Information Technology liaison, who works with records officials and legal counsel to identify any systems, files, or data that may be subject to the preservation obligation.

E6.10.3.5. Propose specific key words and metadata descriptors needed for a minimally sufficient search.

E6.10.3.6. Issue an internal records search and preservation memorandum to responsible officials (both organization heads and accountable records custodians) and task them to suspend routine disposition on relevant records, retain information (including electronic communications, data and non-record materials) that may be relevant to the litigation or query and, if required, collect and review records responsive to the request. The memorandum should sufficiently describe the type of information that must be preserved, so the affected custodians of data can segregate and preserve identified files and data, described. It should also provide clear direction on what the custodians should do with any records collected, i.e. if they should be delivered.

E6.10.3.7. Determine a suspense based on any external deadline, complexity of the search involved and the amount of time required to complete the search and review.

E6.11. DISPOSITION STANDARDS

The OSD Records Administrator shall review recommendations for new or revised files disposition procedures or standards, and make recommendations for final approval to the NARA.

E6.12. THE RECORDS MANAGERS FOR OSD COMPONENTS SHALL:

E6.12.1. Recommend the modification of disposition procedures or schedules in ~~Volume II~~ *Reference (i)*, to OSD Records Administrator, explaining in detail why they should be changed (Fig E6.F1 and E6.F2).

E6.12.2. Follow the format and writing style used in the descriptions and disposition instructions, in presenting recommendations relating to unidentified files, since the proposed standards may have OSD-wide application, retention period for other offices that may be creating similar records shall be considered.

E6.12.3. Recommend to the OSD Records Administrator the establishment of disposition standards for files for which no instructions are provided. Include the following information:

E6.12.3.1. Recommended series and/or file title.

E6.12.3.2. A complete description of the file, including types of record information included therein.

E6.12.3.3. Explain what the series documents: Who, where, when, why, and how an Agency operates or what the Agency does or produces.

E6.12.3.4. Explain who creates the information used in the series, who receives the information, and who uses it.

E6.12.3.5. Explain what information is recorded in the series.

E6.12.3.6. Is the series subject to legal, fiscal, or other requirements? Explain.

E6.12.3.7. Identify what retention period is required to satisfy current business needs, such as:

E6.12.3.7.1. Retain in the office for 1, 2, or 3 years and destroy.

E6.12.3.7.2. Retain as above and retire to an FRC for 1, 2, 3, 5, or 7 years.

E6.12.3.7.3. Retain for the years specified above, then transfer to NARA for permanent retention.

E6.12.3.8. Explain the following:

E6.12.3.8.1. Physical form: paper, microfilm, CD-ROM, other.

E6.12.3.8.2. Arrangement: numerical, chronological, geographical, organizational, alphabetical, subject, functional.

E6.12.3.8.3. Volume to date in cubic feet or number of tapes, as applicable.

E6.12.3.8.4. Dates the files cover.

E6.12.3.8.5. Annual expected accumulation, in cubic feet or bytes.

E6.12.3.8.6. Location of the records.

E6.12.4. The OSD Records Administrator shall obtain NARA approval to make the proposed change.

E6.12.5. Evaluate potential and existing information systems to determine if record information is being created and notify the OSD Records Administrator to validate retention periods identified in ~~Volume II~~ *Reference (i)*. New, revised, or obsolete record information may require revision of the disposition schedule. This process will require the interaction of record management, information technology, and legal staff.

E6.12.6. Notify the OSD Record Administrator of any unauthorized destruction, damage, or removal of official records per E6.9.4.

E7. ENCLOSURE 7

DISPOSITION OF PERSONAL FILES AND NON-RECORD MATERIALS

E7.1. RECORD AND NON-RECORD MATERIALS OF GOVERNMENT OFFICIALS

Many Government officials, during their tenure in office, accumulate substantial collections of “personal files” and copies of official documents (includes electronic files and email) created solely for convenience of reference (non-record material). These latter documents, originated, reviewed, signed, or received during an official's tenure can provide a historically valuable supplement to the official files that when the official departs these materials must be reviewed by the OSD Records Administrator, prior to their removal. To prevent violations of Reference (e), it is necessary that officials in the OSD Components are able to distinguish between Federal records, non-records, and personal files.

E7.2. DISTINGUISHING PERSONAL FILES AND NON-RECORD MATERIAL

This enclosure describes personal files and non-record materials and explains what may and what may not be done with them. Note the difference between personal files and non-record materials. The distinction is sometimes blurred, especially when non-record materials become part of a collection referred to as an official’s “personal files.”

E7.3. PERSONAL FILES

Personal files, sometimes referred to as personal papers are not subject to Reference (d) which pertains to the maintenance and disposal of Federal records. Personal papers are defined in Reference (e) as:

E7.3.1. “...documentary materials, or any reasonably segregable portion thereof, of a private or nonpublic character that do not relate to or have an effect upon the conduct of Agency business. Personal papers are excluded from the definition of Federal records and are not owned by the Government.”

E7.3.2. The following are examples of personal files:

E7.3.2.1. Business or professional files accumulated by an official before joining Government service that are not used subsequently in the transaction of any Government business.

E7.3.2.2. Materials relating solely to an individual’s private affairs, such as outside business pursuits, professional affiliations, personal social events, volunteer or community service records, or private political associations that do not relate to Agency business.

E7.3.2.3. Diaries, journals, personal correspondence, personal calendars and appointment schedules, or other personal notes that are not prepared or used for, or circulated or communicated in the course of, transacting Government business. This is the most difficult to distinguish from Federal records because of its work-related content.

E7.3.3. The following pertain to the maintenance, marking, and handling of personal files:

E7.3.3.1. Personal files should be established at the outset, they shall be clearly designated as such and shall, at all times, be maintained separately from the office's official records.

E7.3.3.2. If information about private matters and Agency business appears in the same document, it shall be copied or extracted at the time of receipt, with the personal information deleted, and incorporated into the office's official records.

E7.3.3.3. Materials labeled "personal," "confidential," or "private," or similarly designated, and used in the transaction of public business, are Federal records subject to the provisions of pertinent laws and regulations. The use of a label such as "personal" is not sufficient to determine the status of documentary materials in a Federal office.

E7.3.4. Personal files that are strictly personal in nature may be removed at the discretion of their creators, unless they are classified.

E7.4. NON-RECORD MATERIALS

E7.4.1. As defined by Reference (e) are Government-owned documentary materials that include:

E7.4.1.1. Library and museum materials (only if made or acquired and preserved solely for reference or exhibition).

E7.4.1.2. Stocks of publications and other printed documents.

E7.4.1.3. Extra Copies of Federal records (if accumulated for the SOLE PURPOSE of ease of reference). Copies of official documents shall not be made SOLELY for the purpose of removal or donation (at the end of an official's tenure), doing so may be a violation of Reference (¶r). These materials may be removed from Government control providing the following conditions are met:

E7.4.1.3.1. Unclassified. A departing official may remove unclassified non-record materials from Government custody for personal use or for donation to a Presidential Library of the NARA, Library of Congress, or to some private institution (college, library, historical society, etc.), providing such removal does not violate privacy or any other interest protected by law and has been approved by the OSD Records Administrator.

E7.4.1.3.2. Classified. Information classified under the provisions of Reference (j/k) is not personal property and shall not be removed from the Government's control under any circumstances. "Government control" is defined as the ability of the originating Agency to regulate access to the materials. Officials may transfer classified non-record materials for historical retention to a Government repository such as a Presidential Library, authorized to safeguard national defense information. Access to these documents (aside from the archivists responsible for their custody and maintenance) shall be granted only to those persons who have the requisite security clearances and whose access has been approved, in accordance with Reference (j/k), by the Agencies who originated the classified material.

E7.4.2. Note that Working Files such as preliminary drafts and rough notes and other similar materials are classified as Federal Records when they are circulated for official purposes such as approval, comment, action, recommendation, etc., and when they contain unique information, such as substantive annotations or comments that add to a proper understanding of the Agency's decision-making process or how its mission is accomplished.

E7.4.3. Any transfer of non-record copies of official documents to any Government or private institution must be effected in writing by a deed of gift or other form of legal conveyance. The written instrument must clearly explain the terms under which the donee institution accepts the papers and the protection they shall be afforded while in its care, to include mandatory restrictions on access. These restrictions pertain to any of the following: potential violations of personal privacy; Protection of National Security Information; statements made by or to the donor in confidence; materials or information that might prove prejudicial to the conduct of the foreign relations of the United States; and material relating to law enforcement investigations. Any such conveyance shall be reviewed by the Department of Defense General Counsel and the OSD Records Administrator before the donor signs it.

E7.4.4. It is the responsibility of the donor and his or her immediate staff to ensure that the donated materials are screened so that they contain no official Agency record copies or other material that cannot be removed from the Government's control. The donor is responsible for compliance with all security regulations governing classified information in his or her files until the classified material is properly transferred to another individual or institution or destroyed.

E7.5. INSTRUCTIONS FOR REMOVAL OF PERSONAL FILES

E7.5.1. The OSD Components should ensure departing OSD employees:

E7.5.1.1. Pack personal files in boxes or containers clearly marked as personal.

E7.5.1.2. Delete all personal files on the PC (E-mail, spreadsheets, documents, etc.)

E7.5.1.3. Account for all program records created, received, and maintained during their employment by printing and filing, sending to an RMA, or moving to a designated area on the

network all Federal/official records from their office PC/laptop. If employee occasionally worked from home, the residential PC should also be considered for review.

E7.5.1.4. Provide access to program records by providing password and/or location of the records on the network.

E7.5.1.5. Provide a listing of any convenience copies of records they wish to remove to the immediate supervisor and the Component Records Management Officer for their review and approval.

E7.5.2. The OSD Records Administrator and/or General Counsel can provide additional guidance to the OSD Components, as needed.

E7.6. ACCESS TO DONATED PERSONAL FILES, NON-RECORD MATERIALS, AND FEDERAL RECORDS.

Access to personal files and non-record material donated by an official to an institution for historical preservation shall be in accordance with the instrument of gift signed by the official and the institution, and with References (~~k~~) and (~~fs~~). Access to Federal records by former officials which they originated, reviewed, signed, or received while serving as Presidential appointees can be granted in accordance with Reference (~~fs~~).

E8. ENCLOSURE 8

ELECTRONIC RECORDS

E8.1. GENERAL

Electronic information meets the criteria of a Federal Record when it is: “Information made or received in connection with the transaction of public business and preserved or appropriate for preservation by an agency as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.” (See Reference (d).) Such a record is also governed by the records disposition principles applying to all other Federal Records in paper or other media. Electronic records should be identified as early as possible in the life cycle of the record system to ensure their preservation.

E8.1.1. CATEGORIES OF ELECTRONIC RECORDS

E8.1.1.1. Databases. Mission-related databases, usually identified by a specific name or acronym, are distinct from those purely administrative files described in the 102 series. Databases contain structured data which is centrally managed within the application. Records officers must pay particular attention to databases that contain significant statistical data or information related to policy-making functions, as these may have long-term or permanent value and must be scheduled. Information that may have to be scheduled includes: input/source records; system documentation (codebooks, record layouts, etc.); system outputs; and masterfile.

E8.1.1.2. Information systems. Records generated and created or used by data input personnel, computer operators, programmers, analysts, and systems administrators. They may include files required to manage system housekeeping, performance tuning, system usage, login and password control, system and audit trail files.

E8.1.1.3. Electronic information systems (EIS). Records generated in systems created to perform mission related functions (payroll, finance, personnel, acquisition, etc.) and used by office and/or organizational personnel, computer operators, programmers, and systems administrators. These systems are usually identified by a specific name or acronym and contain structured data. Information produced by these systems will have to be evaluated for its legal, administrative, and fiscal values. The same information that may be scheduled for databases applies to electronic information systems. In addition inputs received from other systems or information transmitted to other

E8.1.1.4. Electronic office records

E8.1.1.4.1. Office records are created in an office setting such as word processing, desktop publishing, spreadsheet, and database files; electronic mail (e-mail); electronic calendars; appointment, telephone, trip and visit logs; finding or tracking aids, and other

“helpers” employed to enhance the effectiveness of the system. This type of record is considered to be unstructured data and usually requires a document management system or records management application (RMA) to manage them effectively throughout their lifecycle.

E8.1.1.4.2. Electronic files used strictly as backup for paper record copies, or containing only transitory information that does not document the activities of an office, the 100 series in ~~Volume II Reference (i)~~ for temporary electronic records shall be used. The electronic file may be erased when the hardcopy has been generated or when the data is no longer needed. However, users may elect not to erase certain electronic files, particularly if they are reusable for later revision of manuals, directives, recurring memoranda, and spreadsheet models.

E8.1.2. The management of electronic records is the same as that for paper records: Files needed often for the conduct of business should be stored conveniently for immediate access (online). Those less frequently needed should be stored near-line or off-line on tape, disk, or other media, for retrieval when required. Files not requiring long-term retention or not needed to document the business of an organization, such as draft versions of documents, should be deleted from the storage media in accordance with ~~Volume II Reference (i)~~. Classified information should be deleted in accordance with References (jk) and (st) and ~~Volume II Reference (i)~~.

E8.1.3. An office that relies only on electronic versions of files for any of its official records must appraise and schedule them. Some Components may have a "hybrid" system; e.g., both paper and electronic versions of their official records. Offices purchasing new systems or upgrading old ones must ensure that records disposition instructions for the data are incorporated into the system's design.

E8.2. PLANNING AND MANAGING INFORMATION SYSTEMS

E8.2.1. Offices' responsible for the acquisition and management of electronic information systems must ensure that adequate and up-to-date technical documentation for each system is maintained, to ensure that the records remain accessible and useable during its life cycle. The minimum documentation required is a narrative description of the system; physical and technical characteristics of the records, including a record layout that describes each field including its name, size, starting or relative position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric), or a data dictionary or the equivalent information associated with a database management system including a description of the relationship between data elements in databases; and any other technical information needed to read or process the records.

E8.2.2. The functional proponent of the system must schedule the EIS and furnish the information required by the National Archives when submitting a new electronic record for approval (see Enclosure 6). A survey of the information system is completed and used to create the SF 115, (see Figure E6.F1.) submitted to NARA. The SF 115 is prepared by R&DD, in coordination with the functional proponent, and forwarded to the National Archives and Records Administration for approval. Only the OSD Records Administrator, as the Federal Agency

Records Officer, or the Chief, R&DD is authorized to sign the SF 115. The following information is required:

E8.2.2.1. Name of the system. Use the commonly used name and acronym of the system.

E8.2.2.2. System control number. Specify the internal control number assigned for reference, control, or cataloging purposes.

E8.2.2.3. Agency program supported by the system.

E8.2.2.4. Purpose of the system. Indicate the reasons for the system and the requirements met by it.

E8.2.2.5. Data input and sources. Describe the primary data input sources and the providers of the data to the system. Also state if inputs are received from other systems.

E8.2.2.6. Major output. Show the system's main products and the frequency of their preparation. Also state whether the information is transferred to other systems.

E8.2.2.7. Information content. Describe the main subject matter, date coverage, time span, geographic coverage, update cycle, and other major characteristics. Also state whether it saves superseded information and whether it contains microdata or summary data. Indicate the location of documentation needed to read and understand the files and list any restrictions on their access and use, national security, privacy, or other.

E8.2.3. All files included in this category must be individually appraised in coordination with the OSD Records Administrator for permanent or long-term value, particularly those information systems created for an office or organization that may contain significant information not duplicated in paper records. Information systems that replace a manual (paper-based) system must also be reappraised to identify any new records being created by the automation of the process. Where an electronic file duplicates a paper one, the office may choose to retain records of short-term value (180 days or less) in electronic form, rather than printing a hard copy. To identify records of short-term value, see Enclosure 4. Both temporary and permanent records must be included in the records schedule regardless of the media used for their retention.

E8.3. ELECTRONIC RECORDKEEPING OVERVIEW

An electronic recordkeeping system collects, organizes, and categorizes electronic records in their native file form instead of requiring the user to print and file them in a manual filing system. Such a system automates the preservation, retrieval, use, and disposition of the electronic record.

E8.3.1. Electronic recordkeeping systems that maintain the official file copy of text documents on electronic media shall meet the following minimum requirements:

E8.3.1.1. Provide a method for all authorized users of the system to retrieve desired documents, such as an indexing or text search system.

E8.3.1.2. Provide an appropriate level of security to ensure integrity of the documents.

E8.3.1.3. Provide a standard interchange format when necessary to permit the exchange of documents on electronic media between Agency computers using different software/operating systems and the conversion or migration of documents on electronic media from one system to another.

E8.3.1.4. Provide for the trustworthiness of the records by ensuring records are authentic, complete and unaltered (integrity), accessible, and reliable. System should consider the content, context, and structure of the electronic record.

E8.3.1.5. Provide for the disposition of the documents including, when necessary, the requirements for transferring permanent records to NARA. NARA accepts permanent electronic records on approved media only. (See section E8.6., Transferring Permanent Electronic Records to NARA.)

E8.3.1.6. Components should plan for the maintenance of non-permanent electronic records throughout their disposition cycle. Most FRCs do not accept electronic records for retirement purposes, and NARA currently accepts the early transfer of permanent records.

E8.3.2. Before a document is created electronically on electronic recordkeeping systems that maintain the official file copy on electronic media, each document shall be identified sufficiently to enable authorized personnel to retrieve, protect, and carry out the disposition of documents in the system. Appropriate identifying information for each document maintained on the electronic media may include: office of origin, file code, key words for retrieval, addressee (if any), signator, author, date, authorized disposition (coded or otherwise), and security classification (if applicable). Agencies shall ensure that records maintained in such systems can be correlated with related records on paper, microform, or other media.

E8.4. ACQUISITION AND UPGRADING OF SYSTEMS

Reference (pq) describes requirements for Records Management Application (RMA) software compatible with Reference (e) definition for an electronic recordkeeping system. Commercially available RMA software products meeting the DoD Standard are currently available and should be considered in implementing electronic recordkeeping programs by Agencies. Only systems that comply with Reference (e) are authorized for use; contact R&DD personnel for additional information on approved products.

E8.5. ELECTRONIC MAIL (E-MAIL) RECORDS

E8.5.1. Principles Governing Electronic Mail

E8.5.1.1. Many computer users have difficulty thinking of e-mail as having the characteristics of a record. However, Reference (d) describes records as documentary materials meeting certain criteria "regardless of physical form or characteristics." Users should screen all e-mail messages in their control and be prepared to separate those that may constitute a record to ensure they are preserved properly. They also must learn to apply the proper disposition to messages and attachments that are Federal records and delete as soon as possible those messages that are not Federal records or have transitory record value, see ~~Volume II~~ *Reference (i)*, file number 101-21 or GRS 16.

E8.5.1.2. The intention of this guidance is not to require the preservation of every e-mail message. Its purpose is to direct the preservation of those messages that contain information documenting Agency policies, programs, and activities. E-mail message creators and recipients must decide whether particular messages are appropriate for preservation. In making these decisions, all personnel should exercise the same judgment they use when determining whether to retain and file paper records.

E8.5.2. Deciding Which Electronic Mail Messages Are Records

E8.5.2.1. E-mail messages, like paper documentary materials, are records when they are made or received by an office under Federal law or in connection with the transaction of public business and are preserved or are appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government, or because of the informational value of the data in them.

E8.5.2.2. Non-record e-mail messages are those containing official information but received and preserved ONLY for convenience of reference; personal messages are those that pertain ONLY to an individual's private business.

E8.5.2.3. According to Reference (e), Agency records must sufficiently:

E8.5.2.3.1. Document the persons, places, things or matters dealt with by your office.

E8.5.2.3.2. Facilitate action by officials and their successors in office.

E8.5.2.3.3. Make possible a proper scrutiny by the Congress or other duly authorized Agencies of the Government.

E8.5.2.3.4. Protect the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions.

E8.5.2.3.5. Document the formulation and execution of basic policies and decisions and the taking of necessary actions, including all significant decisions and commitments reached orally (person-to-person, by telecommunications, or in conference).

E8.5.2.3.6. Document important board, committee, or staff meetings.

E8.5.2.4. Examples of e-mail messages that are Federal records include those with:

E8.5.2.4.1. Key substantive comments on a draft memorandum, if they add to a proper understanding of an action.

E8.5.2.4.2. Documentation of significant Departmental decisions and commitments reached orally and not documented elsewhere.

E8.5.2.4.3. Information of value on important activities, e.g., data compiled in response to a Departmental request.

E8.5.3. Managing Electronic Mail Records

E8.5.3.1. 36 CFR 1234.24, "Standards for Managing Electronic Mail Records," requires that recordkeeping systems (manual or electronic) account for the following:

E8.5.3.1.1. Transmission data (names of sender and addressee(s) and date the message was sent) must be preserved for each electronic mail record. Any other transmission data needed for purposes of context should also be preserved.

E8.5.3.1.2. Distribution lists to ensure identification of the sender and addressee(s) of messages that are records.

E8.5.3.1.3. Electronic return receipts, if used to certify a message was delivered to the recipient(s), must be filed with the original message so as to be retrievable throughout the disposition cycle of the original message.

E8.5.3.1.4. Federal records sent or received on these systems are preserved in the appropriate recordkeeping system along with transmission and receipt data.

E8.5.3.1.5. Some e-mail systems provide calendars and task lists for users.

E8.5.3.1.5.1. Calendars or other records of all Government officials containing substantive or non-substantive information relating to official activities, which have been incorporated into official files, see ~~Volume II~~ *Reference (i)*, file number 101-18.

E8.5.3.1.5.2. Calendars or other records relating to the official activities of high Government officials - Secretary of Defense, Deputy Secretary of Defense, Heads of the OSD Components, and the Heads of those organization entities under OSD for administrative support,

that have NOT been incorporated into the office files, shall submit an SF 115 to NARA through the OSD Records Administrator to effect scheduling of these records.

E8.5.4. Disposition of E-mail. As previously stated, users should delete all non-record messages as soon as practicable. For messages that are determined to be records, the procedure to be followed depends on whether or not the organization uses an electronic recordkeeping system. When messages are copied and placed in a manual record system, the disposition schedule of that system is applied. If your office has implemented an electronic recordkeeping program using an approved Records Management Application, you must determine the proper file category.

E8.6. JUDICIAL USE

Electronic records are admissible as evidence in Federal Courts proceedings, if the record is deemed trustworthy by ensuring its accuracy, integrity, and authenticity of the information. To ensure the trustworthiness of the electronic record:

E8.6.1. Protect the information from unauthorized deletions, modifications, or additions. Validate the system to prevent unauthorized access.

E8.6.2. Demonstrate that a standard method for storing and retrieving the information is utilized.

E8.6.3. Identify the location of the record information and retain the record in accordance to the disposition instructions (~~Volume II~~ *Reference (i)*).

E8.6.4. Coordinate with your IT, records management, and legal staff to ensure compliance with current regulatory requirements.

E8.6. TRANSFERRING PERMANENT ELECTRONIC RECORDS TO NARA

Transfer of permanent electronic records to the legal custody of the National Archives must be on a medium acceptable to NARA at the time they are transferred. NARA's criterion of the acceptable medium is the usefulness of the form in which the records are offered to NARA for transfer, compared to the usefulness of the original medium of the records and nature of the media used to transfer the records to NARA.

E8.6.1. Timing of Transfers. Each agency is responsible for the integrity of the records it transfers to the National Archives. To ensure that permanently valuable electronic records are preserved, each Federal agency shall transfer electronic records to NARA promptly in accordance with the agency's records disposition schedule. Furthermore, if the agency cannot provide proper care and handling of the media (see Part 1234 of Reference (e)) or if the media are becoming obsolete and the agency cannot migrate the records to newer media, the agency

shall contact NARA to arrange for timely transfer of permanently valuable electronic records, even when sooner than provided in the records schedule.

E8.6.2. Temporary Retention of Copy. Each agency shall retain a second copy of any permanently valuable electronic records that it transfers to the National Archives until it receives official notification from NARA or R&DD that the transfer was successful and that NARA has assumed responsibility for continuing preservation of the records.

E8.6.3. Transfer Media. This paragraph covers the transfer of permanent records to the National Archives; it does not apply to the use or storage of records in agency custody. See Section 1234 of Reference (e) for the requirements governing the selection of electronic records storage media. The agency shall use only media that are sound and free from defects for such transfers; the agency shall choose reasonable steps to meet this requirement. The media forms that are approved for transfer are open reel magnetic tape, magnetic tape cartridge, and Compact Disk, Read Only Memory (CD-ROM). See Section 1228.270 of Reference (e), Electronic Records for media specifications and transfer instructions.

E8.6.4. Formats. The agency may not transfer to the National Archives electronic records that are in a format dependent on specific hardware and/or software. The records must not be compressed unless NARA has approved the transfer in the compressed form in advance. In such cases, NARA may require the agency to provide the software to decompress the records. Some of the formats currently acceptable to NARA are: Data files and databases; E-mail; Plain ASCII files, with or without Standard Generalized Markup Language (SGML) tags; .TIFF; Portable Document Format (PDF); Digital spatial data files; Digital photos; and Web records (HTML or *Extensible Markup Language* (XML)).

E8.6.4.1. Other Categories of Electronic Records. Agencies should identify any foreseeable problems in the possible transfer of potentially permanent electronic records in accordance with Reference (e) §1228.270 at the time the records are scheduled. Special transfer requirements agreed upon by NARA and the agency shall be included in the disposition instructions.

E8.6.1.2. NARA Consultation. The agency shall consult with NARA for guidance on the transfer of types of electronic records other than those prescribed in Reference (e) §1228.270.

E8.6.5. Documentation. Documentation adequate to identify, service and interpret electronic records that have been designated for preservation by NARA shall be transferred with the records. This documentation shall include completed NARA Form 14097, "Technical Description for Transfer of Electronic Records," and a completed NARA Form 14028, "Information System Description Form," or their equivalents. Where possible, agencies should submit required documentation in an electronic form that conforms to the provisions of this section.

E8.6.5.1. Data Files. Documentation for data files and databases must include record layouts, data element definitions, and code translation tables (codebooks) for coded data. Data element definitions, codes used to represent data values and interpretations of these codes must match the actual format and codes as transferred.

E8.6.5.2. Digital Spatial Data Files. Digital spatial data files shall include the documentation specified in Section 1228.270 of Reference (e). In addition, documentation for digital spatial data files may include metadata that conforms to the Federal Geographic Data Committee's Content Standards for Digital Geospatial Metadata, as specified in Executive Order 12906 (Reference (tu)).

E8.6.5.3. Documents Containing SGML Tags. Documentation for electronic files containing textual documents with SGML tags shall include a table for interpreting the SGML tags, when appropriate.

E8.6.5.4. Web content records. These requirements supplement the transfer documentation requirements in Section 1228.270 of Reference (e). For each transfer, if applicable, agencies must additionally supply documentation that identifies:

E8.6.5.4.1. Web Platform and Server, including the specific software application(s) and, where available, intended browser application(s) and version(s).

E8.6.5.4.2. Name of the web site.

E8.6.5.4.3. URL of the web site, including the file name of the starting page of the transferred content.

E8.6.5.4.4. Organizational unit primarily responsible for managing web site content.

E8.6.5.4.5. Method and date of capture:

E8.6.5.4.5.1. If harvested, also include the application used with either a URL to the application's web site or a description of the harvester's capabilities and the log file(s) generated by the harvester that document the harvesting process.

E8.6.5.4.5.2. If PDF, also include the software and version used to capture the PDF.

E8.6.5.4.5.3. If manual, only method and date of capture are needed.

E8.6.5.4.5.4. If more than one method is used, clearly identify which content was captured by which method.

E8.6.5.4.6. Contact information for individual(s) responsible for the capture.

E8.6.5.4.7. The name and version of any content management system used to manage files on the web.

E8.6.5.4.8. All file names, inclusive of both the path (or directory) name and the file name itself.

E8.6.5.4.9. The business logic and web interfaces clearly identified with each corresponding database.

E8.6.5.4.10. If available, a site map of the web site from which the web content records originated.

E8.7. OPTICAL DISK SYSTEMS

Optical Disk technology is now commonly employed in offices needing high volume information storage and having rapid and/or multiple user retrieval requirements. Acquisition of Optical Disk (OD) systems is encouraged wherever a manual or automated records function can be performed in a more cost-effective manner using optical storage. OD technology may be used for all records authorized for disposal in the CFA, consistent with the lifespan of the disk medium itself.

E8.8. ADDITIONAL GUIDANCE

Currently, NARA does not recognize any current industry standard for graphics files, the type created by imaging systems. Thus, it is not currently possible to accession optical disk (or other non-textual electronic files) to the National Archives. For up to date and additional guidance on acceptable transfer media and formats for electronic records visit the following websites:

Reference (e) Electronic Records:

<http://www.gpoaccess.gov/cfr/index.html>

NARA Records Management site:

http://www.archives.gov/records_management/index.html

E9. ENCLOSURE 9

SELECTING RECORDS FOR TRANSFER TO THE FRC

E9.1. BACKGROUND

There are two types of records that may be transferred: PERM and TEMP. PERM records shall be held at the FRC for a specified period of time, usually 25 to 30 years, and then offered to the National Archives for accession. TEMP records are held at the FRC until they are ready for destruction and then they are disposed of by FRC personnel, usually from 2 to 10 years after their transfer. Only TEMP records with a specified destruction date can be retired to an FRC. Preparing records for transfer is a two-step process: selecting and screening. Preparing the records for actual transfer, packing them, and preparing the paperwork, is covered in Enclosure 10 to this Instruction. The process of preparing and screening files is provided in Enclosure 4, Management of Documents.

E9.2. SELECTING FILES FOR TRANSFER

To be transferred to an FRC, records must be eligible. The following criteria must be met:

E9.2.1. They must be scheduled for transfer to an FRC. To determine this, check the appropriate files series at ~~Volume II~~ *Reference (i)*.

E9.2.2. They must not be needed to carry out current Agency operations. Files must be closed.

E9.2.3. They must not be eligible for immediate destruction, unless pre-empted by a records freeze (See paragraph E6.3.4) . Records must have at least 1-year retention from the date of transfer. Note: Do not transfer records with disposition instructions that state, "Destroy when superseded, no longer needed, or obsolete."

E9.3. SCREENING

E9.3.1. Screening is the removal of documents or folders or other materials that are unnecessary or have no lasting value to the record series being transferred. This includes duplicate copies of documents (see Enclosure 4, paragraph E.4.15.). Not all files have to be screened.

E9.3.2. Permanent records and records scheduled for retention for 30 years and more must be screened and extraneous materials removed.

E9.3.3. TEMP files; that is, files that shall be held at the FRC for a period of time and destroyed there, do not have to be screened, but you should remember that to be useful to anyone, your files should always be slim and trim and ready for reference. In deciding whether or not to screen, consider the following:

E9.3.3.1. Can complete folders be removed?

E9.3.3.2. Can disposable material be separated easily from individual folders?

E9.3.3.3. Can materials to be removed be easily identified?

E9.3.3.4. Is access to the records to be screened easy?

E9.3.3.5. Is physical processing such as the removal of fasteners necessary?

E9.3.4. REMEMBER THESE RULES:

E9.3.4.1. Screening problems should not arise if records to be retained permanently or for long periods are not filed with papers of lesser value.

E9.3.4.2. If you have to recall papers back from the FRC for reference the more clearly they are marked and organized, the easier it shall be to find what you are looking for. If you have done your work thoroughly, you can recall individual file folders instead of whole boxes from a shipment of records.

E10. ENCLOSURE 10

PACKING AND SHIPPING PROCEDURES FOR TRANSFER OF RECORDS

E10.1. PACKAGING RECORDS FOR TRANSFER TO FRC

Records are transferred in standard GSA cardboard cartons, as specified below, each holding 1 cubic foot. NO EXCEPTIONS PERMITTED. The cartons shall accommodate either letter- or legal-sized material. Special containers may be obtained for oversized materials or magnetic tapes. Nonstandard boxes cannot be used.

E10.2. SHIPPING CONTAINERS AND RELATED SUPPLIES

The standard record shipping container to be used for the transfer of files is a fiberboard (lock bottom with reinforced hand holes on each side); 275-pound test; size: 14-3/4 x 12 x 9-1/2 inches; FSN: 8115-00-117-8249.

E10.3. REQUISITIONING

Standard-sized boxes are available in the self-service supply centers. Containers for odd-size boxes should be ordered directly from supply services using the stock numbers listed below.

E10.4. SHIPPING CONTAINERS FOR ODD-SIZED DOCUMENTS

When records being shipped are too large or too small for the container described above, the documents shall be securely packed and shipped in a manner that prevents damage in route. The following containers are recommended for the types of records indicated:

E10.4.1. Half-size Box, 14-3/4 X 9-1/2 X 4-7/8 inches, NSN: 8115-00-117-8338. For shipping 3 by 5-inch card files when strips of cardboard are placed between rows of cards and wadded paper is used to fill any open space in the box. In addition, this box is suitable for shipping punched cards.

E10.4.2. Magnetic Tape Box, 14-3/4 x 11-3/4 x 11-3/4 inches for Magnetic Tape Records, NSN: 8115-00-117-8347.

E10.4.3. Microfiche Box, 14-3/4 x 6-1/2 x 4-1/2, NSN: 8115-01-025-3254.

E10.4.4. Tubes, not longer than 36 inches should be used for documents that are normally shipped rolled (maps, charts, plans). If tubes are not available fold these records and ship in the standard container above. Note: Tubes shall be used for permanent records.

E10.5. LISTING RECORDS FOR TRANSFER OR RETIREMENT

Files to be retired to the FRC shall be identified on SF 135, "Records Transmittal and Receipt." Available in electronic form (MS-WORD or PDF format) from the NARA website at http://www.archives.gov/records_center_program/forms/forms.html. When more than one page is required for the box list, continue the list in a separate electronic file (MS Word, Excel, or PDF formats are acceptable). The SF 135 serves as a packing list for the transfer and retirement of files; as a medium for controlling the location and disposition of files in record holding areas and FRCs; and as a receipt for records retired to the FRCs.

E10.6. TRANSFER OF RECORDS TO OTHER EXTERNAL ORGANIZATIONS

E10.6.1. Unclassified files transferred to other external organizations as a result of a transfer of functions, or for other reasons, shall be approved by the OSD Records Administrator, and listed on SF 135.

E10.6.2. Distribution of Consolidated Records Transmittal List:

E10.6.2.1. The original and one copy is forwarded to the receiving organization.

E10.6.2.2. Another copy is provided to the OSD Records Administrator.

E10.7. HOW TO PREPARE RECORDS FOR RETIREMENT AND SHIPMENT TO THE FRC

E10.7.1. Records Transmittal and Receipt, SF 135 (see Figure E10.F1.)

E10.7.1.1. The retirement and transfer of records require the preparation of a SF 135. As the attachment illustrates, each different series of records is a block of records having the same disposal authority and the same disposal date. The SF135 is available electronically and it is requested that you use the electronic form for retirement of the records. The SF 135 has detailed instructions for completion in a separate attachment, which is available on the NARA website (see paragraph E10.5) or can be requested from R&DD. In addition to these instructions, the OSD Components shall:

E10.7.1.1.1. Describe the records adequately, including the inclusive dates in column "f" and the security classification in column "g." Transmittal documents for temporary records must list the beginning and ending file in each box. For permanent records a folder title list of the box contents or equivalent detailed records description must be provided for every box.

E10.7.1.1.2. Obtain the accession/transfer number and point of contact for submitting the SF135, from R&DD. When entering volume on the SF 135, except when special containers are used to package oversized materials, punch cards, or magnetic tapes, volume should be expressed as number of boxes or containers, capacity of standard GSA cardboard records

retirement cartons is one cubic foot; i.e., the appropriate entry is the total number of boxes comprising the transfer.

E10.7.1.1.3. When completing column 6(h), Disposal Authority, in addition to the AI 15 disposal citation (file series number), you must include either the GRS citation or the SF 115 (Request for Records Disposition Authority) Authority. The Authority Number (N1-330-XX-XX) is located before the disposition instructions. If you cannot find these citations or are not sure which ones apply to the records you are preparing for transfer, call R&DD for assistance. Sample entries are provided below:

E10.7.1.1.3.1. AI 15, series 801-01., NC1-330-76-1.

E10.7.1.1.3.2. AI 15, series 301-09., GRS 6, Item 1a.

E10.7.1.1.4. Complete the SF 135 and box list. Submit the completed SF 135 and box list via email to the R&DD POC, through your Component Records Management Officer. The R&DD POC will review for completeness, provide an transfer number, sign block 2, and submit to the appropriate FRC for processing. Retain one copy for your Office Record Locator files (101-17, *Volume II Reference (i)*). Since this is the only source of information describing the records you are transferring to the FRC, this document is vital to you and your successors when the need arises to retrieve specific papers from the FRC. The location information shall be furnished to you later via email by R&DD (see E10.7.1.1.4.2.).

E10.7.1.1.4.1. When retrieval is necessary, identify the transfer number of the box that contains the specific material, along with the box location numbers.

E10.7.1.1.4.2. The location information shall be furnished to you by the FRC through the OSD Records Administrator, and recorded on columns (~~jk~~), (~~kl~~), (~~lm~~), and (~~mn~~) of SF 135 returned from the FRC.

E10.7.1.2. The transfer of records constituting a system of records subject to the provisions of Reference (~~lm~~) shall be accompanied by the most recent OSD PA notice covering the records. Include the PA Systems Records number in column (i) of the SF 135; however, information subject to the PA should be omitted.

RECORDS TRANSMITTAL AND RECEIPT Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse. PAGE 1 OF 3 PAGES

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

Washington National Records Center
4205 Suitland Road, Suitland, MD 20746-8001

2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL <i>(signature and title)</i> Mr. XXXXX OSD Records Administrator	DATE
3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL <i>(Name, office and telephone No)</i> Ms. XXXXX, Records Manager, DoD (GC), Room XXXX, 697-0000	
4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY <i>(Signature and Title)</i>	DATE

5 FROM *(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)*

DOD/Washington Headquarters Services
Records and Declassification Division
1155 Defense Pentagon
Washington, D.C. 20301-1155

Fold Line ↙

6 RECORDS DATA

ACCESSION NUMBER			VOLUME <i>(cu. ft.)</i>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <i>(with inclusive dates of records)</i>	RESTRICTION	DISPOSAL AUTHORITY <i>(schedule and item number)</i>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
<i>(a)</i>	<i>(b)</i>	<i>(c)</i>	<i>(d)</i>	<i>(e)</i>	<i>(f)</i>	<i>(g)</i>	<i>(h)</i>	<i>(i)</i>	<i>(j)</i>	<i>(k)</i>	<i>(l)</i>	<i>(m)</i>
330	07	0000	2	1 2	DoD GENERAL COUNSEL Privacy Act: DWHS 000VM623 These records are in addition to a record system previously retired to the records center and information previously submitted by DoDFC is still applicable. Access Restricted to DoDGC Officials. These records were created by the Office of General Counsel. The mission of the office was and remains processing of intellectual property law and court suits. ABC File (1984-1985) DEF File (1986) XYZ File (1987-1989)	R	AI 15 Info FN 402-01 (NC1-330-76-2)	Transfer to NARA 2025				

Figure E10.F1 – Standard Form 135 (SF 135), “Records Transmittal and Receipt”

E10.7.2. Packing the Cartons

E10.7.2.1. Before placing records in the GSA cartons, the OSD Components shall make sure that any records eligible for destruction are destroyed as authorized in the OSD Records Disposal Schedules.

E10.7.2.2. Records shall be packed snugly in the box, but not forced, for ease of future reference. Existing filing arrangements shall not be disturbed to make future reference easier.

E10.7.2.3. Records having different retention periods may not be packed in the same box, nor have the same accession number. The Records Disposal Schedules in ~~Volume II~~ *Reference (i)* contain retention periods.

E10.7.2.4. Records on different media (CD-ROM, Diskettes, and microfilm) shall not be packed with paper records; these records will be packed separately and the media will be identified on the SF 135, column "i."

E10.7.3. Labeling and Transferring the Boxes. The information printed on the end of the box shall be legible, completed in black magic marker include the accession number, carton number, and security classification if any. The boxes shall be numbered consecutively in the upper right hand corner of the front end of the box. The box number will identify the box number and the total number of boxes in the accession. For example, if the shipment has three boxes, the numbers should read "1/3, 2/2, and 3/3." Each series of records transferred shall be assigned a separate accession number. (See Figure E10.F2.)

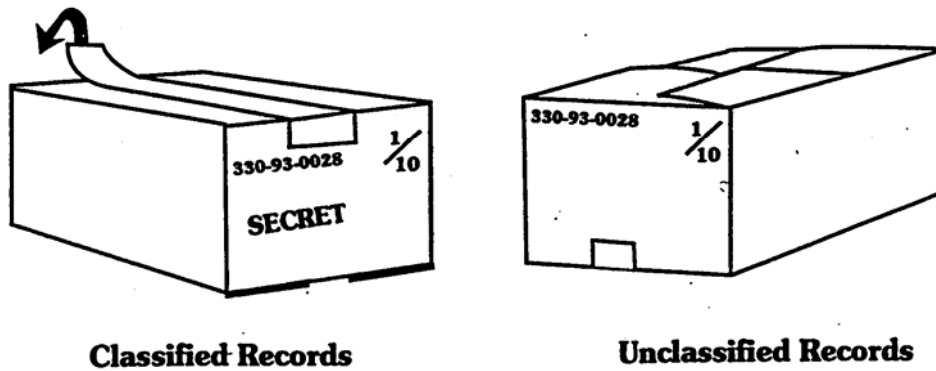
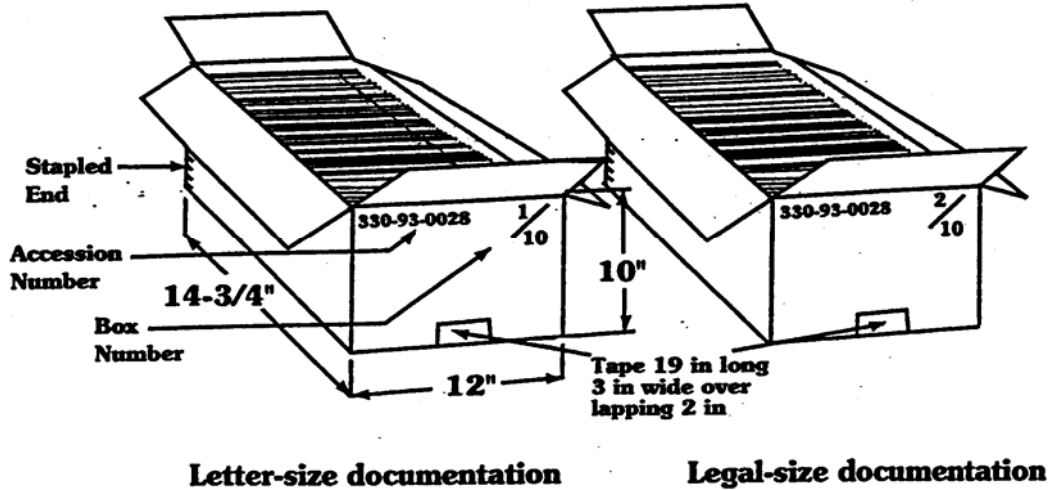


Figure E10.F2. Labeling of Retirement Boxes

E10.7.4. Retirement of Classified Security Information

E10.7.4.1. When eligible for retirement, classified records like unclassified records, shall be transferred to the FRC. In filling out the SF 135, Column “g.” (Restrictions), must be completed to indicate the classification of the records being transferred. The SF 135 is a public record, for Column “f.” “Series Description”, care shall be taken in describing the records so as not to include any classified information in the description of the file.

E10.7.4.2. Observe security requirements of Reference (jk) when retiring Confidential and Secret files to the FRC. Before transferring classified material, ascertain whether or not the material can legitimately be downgraded in accordance with Section 4, paragraph 3-402, Chapter III, Reference (jk) or destroyed.

E10.7.4.3. Reference (jk) rules for safeguarding classified material must be followed when classified material is packed in boxes. Reference (jk), paragraphs 8-200b.4 and 8-201b, must be complied with before transfer or disposal of any classified material. Boxes containing classified data must be taped closed, taking care not to cover the informational matter listed on the outside of the box (see Figure E10.F2.). Each box must be marked conspicuously with the highest classification of material contained in that respective box. When the boxes are shipped to the FRC, the provisions of Reference (jk), Chapter VIII must be complied with.

E10.7.4.4. Retire Top Secret documents eligible for retirement as specified in Enclosure 4 and retire them to the FRC. The SF 135 is completed in the usual manner except that the continuation sheet lists the Top Secret documents under each subject and file number to facilitate identification for possible future downgrading. Classified titles are not listed since the SF 135 must be unclassified. Top Secret documents must be properly identified under a separate accession number. The FRC provides separate storage for Top Secret records. Ensure that Top Secret documents are not included in accessions that are retired under an accession number identified as Secret or below; to do so constitutes a security violation since special storage arrangements are made at the FRC for Top Secret documents.

E10.7.4.5. Cross-reference regraded or declassified Top Secret documents that formed a part of the files that have already been retired and sent to the FRC. Make an entry on the SF 135 transmitting the documents to retirement. On the Records Transmittal and Receipt form show the designation of the organization and administrative subdivision, the file number and title of the file, and the accession shipment number assigned by the OSD Records Administrator.

E10.7.4.6. Staffs of organizations slated for discontinuance shall, prior to discontinuance, review all Top Secret documents for downgrading or declassification before shipping records to the FRC.

E10.7.4.7. Since some FRCs may not be cleared to provide storage for classified Sensitive Information (SI) documents, request you verify with R&DD prior to retiring records whether or not FRC is cleared.

E10.7.4.8. See paragraph E10.9.5. for the transfer of Restricted Data or Critical Nuclear Weapon Design Information (CNWDI).

E10.8. MATERIAL THAT SHOULD BE DESTROYED

All eligible records are identified and destroyed in accordance with the disposal standards authorization contained in ~~Volume II~~ *Reference (i)*. Destroy obsolete reference material, such as extra copies of speeches, staff papers, news releases, blank forms, reports, and publications. Extra carbon and photocopies should be eliminated. Do not retire housekeeping records to the FRC. See Enclosure 9 to this Instruction for more detailed instructions on the selection of files.

E10.9. USE OF RESTRICTED COLUMN

E10.9.1. A single classification shall be shown for each accession number.

E10.9.2. The classification of each document in the box is not shown, only the highest classification in the box.

E10.9.3. Interfiling only a few classified documents in an accession number that is predominantly unclassified shall be avoided.

E10.9.4. Example of how to complete Form 135 is shown in Figure E10.F1.

E10.9.5. Boxes containing Restricted Data or CNWDI shall use the "Q" designation and clearly indicate on the SF 135 that access is restricted to individuals who are cleared for Restricted Data or CNWDI, as appropriate, in addition to further restricting use to only individuals of the office that retired the records.

E10.10. PACKING PROCEDURES

The instructions contained in this paragraph govern the arrangement and packing of files for retirement and retire to the FRC.

E10.10.1. General. Regardless of the type of container used for files, containers shall be filled with only one row of file folders, not stacked one on top of the other.

E10.10.2. Arrangement in Fiberboard Boxes

E10.10.2.1. Letter and legal-sized files shall be packed in fiberboard boxes. When filled to capacity, the box holds 15 inches of letter-sized or 12 inches of legal-sized files. Do not place additional material on the bottom, side or top of the box.

E10.10.2.2. The dimensions of the corrugated fiberboard boxes are such that when the containers are filled to capacity with files, no packing material is required between the files and the inner walls of the box. When it is necessary to ship partially filled boxes, the space between the files and the inner walls of the box is packed with crumpled or wadded paper or other

suitable packing material to prevent movement of the contents during shipment. Excelsior, shredded paper, newspapers, or surplus file folders are not used as packing material.

E10.10.2.3. Do not over pack the boxes. Boxes may be filled to capacity whenever sufficient files are available; however, care must be exercised to ensure that boxes are not packed so tightly that files cannot be serviced while in the container, or that the box cannot be closed completely with the flaps flat.

E10.10.2.4. See Figure E10.F3 for stacking instructions for large shipments of records. Use these instructions when shipping via a commercial carrier or when requesting a pickup from the FRC.

E10.10.3. Packing of Files for Retirement. Permanent files and files having a disposal date (temporary) shall be packed in separate boxes when they are retired to a FRC under separate accession numbers. Separate records to be transferred into the following groups:

E10.10.3.1. Unclassified temporary records.

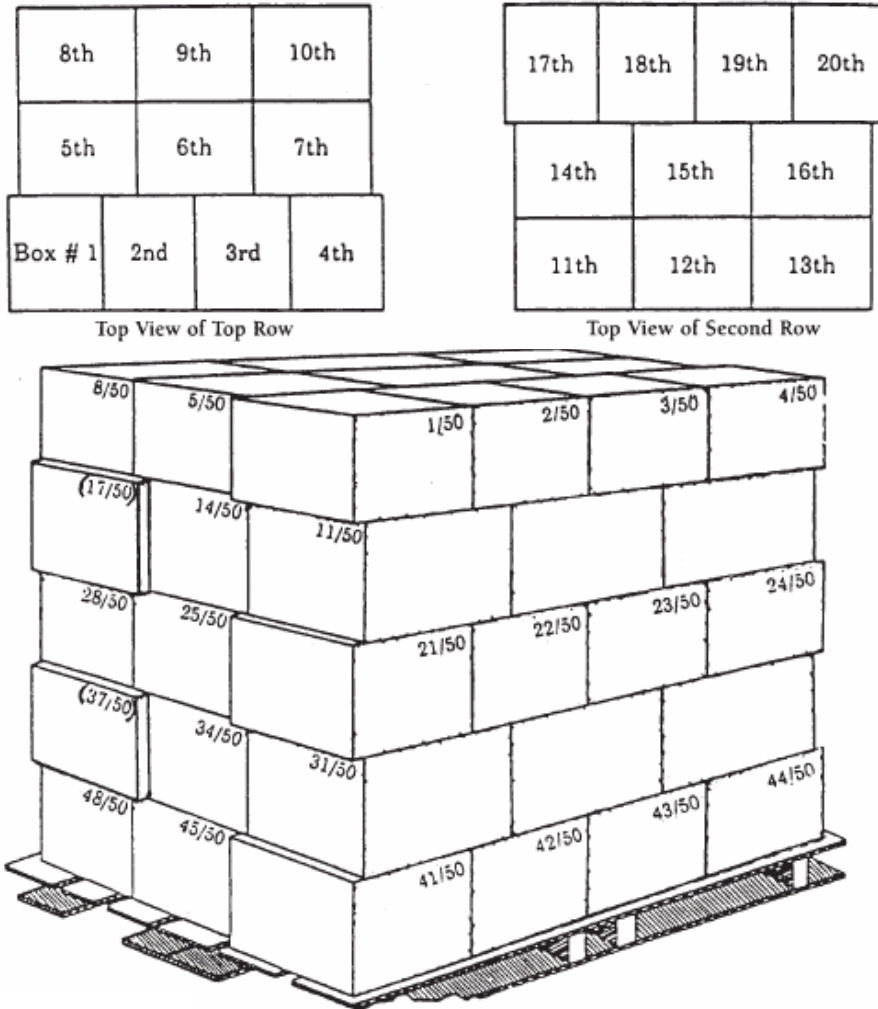
E10.10.3.2. Unclassified permanent records.

E10.10.3.3. Classified temporary records (see E10.7.4.4.).

E10.10.3.4. Classified permanent records (see E10.7.4.4.).

E10.10.3.5. For Official Use Only (FOUO) records are retired under unclassified material.

EXAMPLE OF PROPERLY STACKED PALLET
SHOWING AGENCY BOX NUMBERS



1. Face the boxes as shown in diagram.
2. Stacking pattern for palletized records in 10 standard records center cartons per row, 5 rows per pallet. 50 cartons per pallet. Box 50 is in the bottom row, and box 1 is in the top row.
3. Four boxes on each row are placed perpendicular to the rest of the boxes in that row.
4. Numbered end not facing the front of the pallet should face right.
5. When records are boxed before pallets are available, keep the boxes in numerical order so they can be loaded on pallets properly.
6. Failure to load pallets properly will be cause for the Center to refuse the records.
7. Pallets should be banded with steel, plastic, or cord strapping before shipping.

Figure E10.F3. Example and Instructions for a Properly Stacked Pallet

E10.11. PACKING AND SHIPPING CLASSIFIED FILES

The instructions contained in this paragraph govern the packing and shipping of files classified Secret and Confidential. The shipment of large quantities of unclassified material in classified shipments is discouraged.

E10.11.1. Shipments of 10 cubic feet or less should be segregated and forwarded as two shipments, one classified, the other unclassified, when more than 50 percent of the material is unclassified.

E10.11.2. Shipments in excess of 10 cubic feet containing 25 percent or more unclassified material, the latter material is segregated and forwarded as a separate unclassified shipment.

E11. ENCLOSURE 11

RECALL OF RECORDS FROM THE FRC

E11.1. OFFICIALS AUTHORIZED TO MAKE RECALLS

The OSD Records Administrator shall maintain an up-to-date list of individuals authorized by each OSD Component head to recall its records. This list shall be provided to the servicing FRC and corrected as changes occur. Only these individuals can request records to be recalled via R&DD. The R&DD recalls records from FRC for the OSD components, except as noted in E11.2.2. Each OSD Component designee is responsible for picking up (as applicable, records can also be mailed to the office) and returning its own records. Responsibility for this extends to Top Secret transfers, which may necessitate Agency courier or Defense Courier Service arrangements.

E11.2. NORMAL RECALL PROCEDURES

E11.2.1. To obtain reference service on records at the FRC, an Optional Form 11, "Reference Request - FRC," must be completed by the requestor. A separate form for each item (box or file) requested is required. Requesters must provide the accession/transfer number, box number, FRC location (as shown on SF 135 file). The completed form is mailed to the appropriate FRC.

E11.2.2. An alternative to mailing Optional Form 11s to the FRC is Centers Information Processing System (CIPS). See the NARA website for account access instructions: http://www.archives.gov/records_center_program/index.html. Customers having high-volume requirements may obtain a CIPS account through R&DD and access the system directly. Organizations that only occasionally recall records submit requests by email, listing accession number, box numbers, file title (if requesting folder), office address, pick-up date and time (if records are to be picked up by office staff), state whether it is a temporary or permanent withdrawal, and provide point of contact information (no location number needed for CIPS) to R&DD. NOTE: For records being picked up at the FRC by office staff, a minimum 3 days notice is required for non-emergency requests.

E11.2.3. Component Records Management Officers wanting more information about CIPS should contact the R&DD POC.

E11.3. URGENT REQUESTS

Urgent requests must be kept to a bare minimum. An urgent request recalls records needed to complete testimony before the Congress, records required as part of a legal proceeding, actions

under the Freedom of Information or Privacy Acts, or records specifically requested by the Secretary of Defense. Emergency recalls shall be arranged by R&DD.

E11.4. RETURNING RECORDS

E11.4.1. To avoid the misplacing or the re-absorption of recalled records into the current file system, records should be returned to the FRC as soon as they are no longer needed. OSD Component offices shall annually report the location of recalled records and the reason for their retention to the OSD Records Administrator when recalled records are retained for more than a year.

E11.4.2. Records should be returned in their original folder or box to allow accurate refilling. If the record box or folder is not reusable for shipment, copy the information on the previous container to its replacement. The word "REFILE" should be written on the white copy of the OF 11 or on the CIPS request form that accompanied the records. If these documents are no longer attached to the records, specify the refile action in a brief note or cover letter and attach it to the records being returned. The memo should also include the same information used to request the records. The OSD Component Records Management Officer shall notify R&DD when records are returned to the FRCs.

E11.5. ACCESS TO FEDERAL RECORDS BY OTHER INDIVIDUALS

Access to Federal records by individuals not employed by an OSD Component or an assigned service member of the Armed Forces such as historical researchers, former Presidential appointees, and non-DoD employees shall be processed in accordance with Reference (¶5). OSD Components are not to independently recall, retrieve, or duplicate records for these individuals.



Washington Headquarters Services

ADMINISTRATIVE INSTRUCTION

NUMBER 15

Volume II

April 18, 2008

ESD, WHS

SUBJECT: Office of the Secretary of Defense (OSD) Records Management Program -
Records Disposition Schedules

- References:
- (a) Administrative Instruction No. 15, Volume II, "OSD Records Disposition Schedules," August 11, 1994 (hereby canceled)
 - (b) DoD Directive 5110.04, "Washington Headquarters Services," October 19, 2001
 - (c) DoD Directive 5015.02, "DoD Records Management Program," March 6, 2000
 - (d) Chapters 29, 31, and 33 of Title 44, United States Code
 - (e) Title 36, Code of Federal Regulations, Chapter XII, Subchapter B
 - (f) Administrative Instruction No. 15, Volume I, "Office of the Secretary of Defense (OSD) Records Management Program - Administrative Procedures," November 14, 2006
 - (g) Title 41, Code of Federal Regulations, Chapter 102

1. REISSUANCE AND PURPOSE

This Administrative Instruction (AI) reissues Reference (a) to update disposition of OSD records under the authority of References (b) through (e).

2. APPLICABILITY AND SCOPE

2.1. This Instruction applies to the OSD, Defense Agencies, and DoD Field Activities to whom WHS provides administrative support and to WHS (hereafter referred to collectively as the "OSD Components").

2.2. AI 15 consists of two Volumes (hereafter referred to as Volume I (Reference (f)) and Volume II). Volume I contains the responsibilities and administrative procedures concerning the lifecycle management of records; Volume II contains the OSD Components records disposition schedules as approved by the National Archives and Records Administration (NARA). Volume

It shall be updated as NARA approves changes to the schedules of the OSD Components and issues General Records Schedules citations.

3. DEFINITIONS

Terms used in this Instruction are defined in Reference (f).

4. POLICY

It is DoD policy, under Reference (c), to limit the creation of records to those essential for the efficient conduct of official business and to preserve those of continuing value while systematically eliminating all others, and to ensure their management is in compliance with chapter 31 of Reference (d); Reference (e); and chapter 102 of title 41, Code of Federal Regulations (Reference (g)).

5. DISPOSITION SCHEDULE

The OSD Component records disposition schedules as approved by NARA is at Enclosure 1. Enclosure 2 provides guidance on how to read and use the disposition schedule

6. EFFECTIVE DATE

This Instruction is effective immediately.



Michael L. Rhodes
Director

Enclosures – 2

- E1. Disposition Schedule
- E2. The OSD Functional Files System

E1. ENCLOSURE 1

OSD RECORDS DISPOSITION SCHEDULES

The records disposition schedules are arranged according to a functional file system; that is, according to the major functions by which they shall be arranged for filing and retrieval. The records described in this schedule are created and maintained in different media and formats. Existing paper records with a permanent disposition transferred to electronic media shall not be destroyed without the approval of NARA, see Volume I, Enclosure 6 for specific guidance.

RECORDS DISPOSITION SCHEDULES

100	Office Administrative Files	4
200	General Administration	21
300	Comptroller	91
400	General Counsel	100
500	Intelligence	106
600	Reserve Affairs	111
700	Public Affairs	117
800	International Security Affairs	141
900	Health Affairs	154
1000	Legislative Affairs	189
1100	Command, Control, and Communications	191
1200	Acquisition	198
1300	Research and Engineering	216
1400	Program Analysis and Evaluation	227
1500	Atomic Energy	233
1600	Electronic Records and Chief Information Officer	235
1700	U.S. Court of Appeals for the Armed Forces	249
1800	Personnel and Readiness	251
1900	DoD Education Activity	264
2000	Operational Test and Evaluation	281
2100	Special Operations and Low-Intensity Conflict	285
2200	Drug Enforcement Policy and Support	286

SERIES 100

OFFICE ADMINISTRATIVE FILES

100. OFFICE ADMINISTRATIVE FILES (NC1-330-77-4)

The files described in this subgroup relate to the performance of routine administrative operations and in obtaining administrative services from the offices and staff sections responsible for providing them.

Disposition: Transfer all permanent records of this series to the National Archives when 30 years old unless otherwise indicated or needed for Agency purposes.

101. OFFICE GENERAL INFORMATION

101-01. Office General Management Files. Documents relating to the internal management or general administration of an office. Included are:

- Documents on internal office procedures, hours of duty, and individual duties that do not have continuing applicability.
- Documents on office participation in charitable affairs, such as blood donations and contributions to philanthropic or charitable associations.
 - Documents on tests of civil defense, fire, or comparable emergency evacuation procedures.
- Documents on security, and documents on the security classification system in general.
- Documents on safety within the office, such as minutes of safety meetings, notification of safe and unsafe practices, and comparable documents.
 - Documents on the office's involvement in forms, publications, records, and reports management, such as records and forms surveys and inventory reports (but not papers relating to the initiation of specific forms, publications, and reports that pertain to the performance of the office's mission or functions).
 - Documents on the general use of IT (but not documents concerned with the employment of IT for performance of the office's mission or functions).
 - Documents on the general routine use of IT (but not documents concerned with the employment of IT for performing specific mission, functions, or process thereof).

Disposition: Destroy after 1 year or on discontinuance, whichever is first.

101-02. Office Inspection and Survey Files. Documents on inspecting and surveying internal office administrative procedures. Included are: Extracts of inspection reports, security inspection reports, safety inspection reports, or comparable communications that pertain only to the performance of housekeeping operations within the office, including communications about impending inspections. EXCLUDED are management improvement reports submitted to the Office of Management and Budget (OMB) that are of a Permanent nature. Management survey

reports and similar documents that are applicable to internal office procedures.

Disposition: Destroy after the next comparable survey or inspection.

101-03. Office Instruction Files. 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. (This file number is not applicable to 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: Destroy when superseded or obsolete.

101-04. Office Organization Files. Documents on the organization and function of an office, such as copies of documents that are duplicated in the office charged with determining the organization and functions of the Agency. Included are copies of functional charts and functional statements; copies of documents relating to office staffing and personnel strength, such as extracts from manpower surveys and manpower authorization vouchers; and similar papers. Also included are documents reflecting minor changes in the organization of the office that are made by the office chief and that do not require evaluation and approval by the Secretary of Defense.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

101-05. Office Record Locator Files. Documents used to locate files in the current files area, or files that have been transferred to the records holding area or retired to a records center. Included are lists of selected file numbers, copies of file plans not issued as directives, and retained copies of records shipment lists. (Card indexes to individual mission record groups should not be identified as locator files but as reference paper files to the mission records. Lists of selected file numbers may be filed loosely in front of organized files.)

Disposition: Destroy file plans and lists of file numbers when superseded. Destroy shipment lists when 6 years old after related records are destroyed or after the related records are transferred to the National Archives, whichever is applicable. GRS 16, Item 2.a.(2)

101-06. Record Access Files. Documents received or prepared by an office that show name, grade, and other identification of individuals authorized access to official records, particularly classified material. Included are requests for access and approvals thereof, roster of individuals authorized access and similar documents.

Disposition: Destroy when superseded or obsolete of the authorization document or on transfer, separation, or relief of the individual concerned.

101-07. Security Container Record Files. Forms placed on safes, cabinets, or vaults containing security classified documents and used for providing a record of entry into the containers.

Disposition: Destroy 3 months following the last entry on the form, except in the case of forms involved in an investigation, which shall be retained until completion of the investigation. GRS 18, Item 7b.

101-08. Security Container Information Files. Up-to-date records of all office safe and padlock combinations, together with other information necessary to identify and locate the safes or containers and the individuals having knowledge of the combination.

Disposition: Destroy when superseded by a new form or list or upon turn-in of containers. GRS 18, Item 7a.

101-09. Office Classified Document Receipt Files. Receipts for classified documents issued or transferred. If classified document receipts are used concurrently as a register and control file, they shall be identified and disposed of under file number 101-12.

Disposition: Destroy when 2 years old. GRS 18, Item 2

101-10. Office Classified Register or Control Files. Documents reflecting the identity and location of classified papers that the office is accountable.

Disposition: Destroy when 2 years old. GRS 18, Item 4

101-11. Temporary Internal Receipt Files. Documents used in making temporary loan of classified documents within the office as distinguished from transferring or issuing classified documents in an office or headquarters. Such loans are normally of short duration and borrowed documents are often returned within the same workday.

Disposition: Destroy when 2 years old. GRS 18, Item 2

101-12. Office Non-registered Classified Document Destruction Certificate Files. Forms or other documents accumulated by an office that reflect the destruction of classified documents.

Disposition: Destroy when 2 years old. GRS 18, Item 3

101-13. Office Mail Control Files. Documents that relate to the control of incoming and outgoing mail by offices other than official mail rooms and postal activities. Included are routing and suspense slips, records of messenger trips, and similar documents. In rare cases, they may also include copies of receipts for accountable mail; e.g., registered, certified, and numbered insured mail.

Disposition: Accountable mail receipts: Destroy after 2 years. Other documents: Destroy after 3 months. series 102-11. for additional information on mail room operations.

101-14. Office Financial Files. Documents on the participation of offices in matters concerning the expenditure of funds incidental to the performance of the mission of the office,

such as itineraries and cost estimates for travel and notifications to budget offices of funds required for travel; requests for long distance telephone funds, notifications from budget offices of telephone funds that are available, and reports of long-distance telephone calls; receipts for pay checks and other documents relating to the distribution of checks to individual employees; receipts for savings bonds and other documents on distribution of savings bonds directly to individual employees; and comparable papers.

Disposition: Destroy after 1 year or on discontinuance, whichever is first.

101-15. Office Service and Supply Files. Documents on ordinary supplies and equipment used by an office; office space and utilities; communications, transportation, custodial or other services required by an office; and to the general maintenance of an office. Included are: Requests to supply activities for supplies, receipts for supplies and equipment, and similar papers on office supply matters; requests and other documents on issue of keys and/or locks to an office; requests for publications and blank forms, and other papers on supply and distribution of publications to an office; documents relating to local transportation required by, or available to, an office; requests for office space and similar documents on office space; requests for installation of telephones, floor plans showing location of office telephone extensions; requests for change to telephone directories, and similar papers; documents on the modification, repair, or change of office heating, lighting ventilation, cooling, electrical, and plumbing systems; documents on painting, partitioning, repairing, or other aspects of maintaining the office physical structure; and documents on other logistical type services required by, or provided to, an office.

Disposition: Destroy 1 year after completion of action.

101-16. Office Property Record Files. Cards, lists, hand receipts, or comparable documents showing accountable property charged to the office.

Disposition: Destroy when superseded, obsolete, or when the property is turned in, whichever is first.

101-17. Office Equipment Approval and Utilization Files. Documents on approval and use of office property. Included are documents reflecting approval of such items of equipment as office copiers; documents reflecting individual and cumulative repairs, adjustments, and usage of items of office equipment, and similar or related documents.

Disposition: Destroy when superseded, obsolete, or upon disposal of the related item of equipment, whichever is first.

101-18. Classified Matter Inventory Reporting Files. Documents used to report the results of physical inventories conducted to assure all classified matter is accounted for.

Disposition: Destroy when 2 years old. See series 209 for more details. GRS 18, Item 4

101-19. Security Classification Regrading Files Documents authorizing the regrading of security classified documents.

Disposition: Retire to the WNRC 2 years after final action. Destroy when 5 years old. See series 209 for more details.

101-20. Office Management System Files. Documents related to the use and approval of a miniaturization system, a word processing system, or similar system.

Disposition: Destroy when system is no longer in effect.

101-21. Office Space Assignment Records Files. Documents reflecting administrative space assigned to an office. Included are space assignment records and similar or related documents.

Disposition: Destroy when superseded or obsolete.

101-22. Publications Request Files. Requests for publications, photos, and general information including applications or form requests with copies of acknowledgments and replies.

Disposition: Destroy requests, replies, and related information 3 months after annual file cut off.

102. OFFICE ADMINISTRATIVE FILES

102-01. Reference Publication Files. Copies of publications issued by other government agencies, and nongovernmental organizations maintained for general reference with an office. Not to be confused with documents described under series 103-08.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference purposes, except that accountable publications shall be returned to supply channels.

102-02. Technical Material Reference Files. Copies of technical materials, such as motion pictures, sound recordings, still photographs, transparencies, charts, and maps retained for reference purposes only.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, except that accountable publications shall be returned to supply channels.

102-03. Reading Files. Copies of outgoing communications, arranged chronologically, and maintained for periodic review by staff members. This does not apply to chronological reading files of Top Officials. See series 102-16 for more details.

Disposition: Destroy when no longer needed for reference purposes.

102-04. Office Message Reference Files. Copies of incoming and outgoing messages maintained in numerically or chronological order for reference purposes in offices other than the Cables Division, WHS, and official record copies of messages that must be filed in the

appropriate mission files of the office.

Disposition: Destroy after 1 year. Earlier destruction is authorized.

102-05. Policy and Precedent Files. 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: Destroy individual documents when superseded or obsolete. Destroy entire file on discontinuance of organizational elements to which it relates.

102-06. Publications Files. Publications, manuscripts and associated papers on publications issued by the OSD.

Disposition: a. Retire record copies to the WNRC 2 years after file cut off. Transfer to the National Archives after 25 years. b. Destroy duplicate copies 1 year after issuance of the publication. c. Case files. Destroy when no longer needed for reference.

102-07. Nonpolicy Administration Files. Correspondence, transmittal memoranda, instructions, and other related material of a non-policy nature on internal administration and operations.

Disposition: Cut off when superseded or obsolete; destroy 3 years after cut off.

102-08. Messenger Service Records Files. Messenger service records including daily logs, assignment records and instructions, dispatch records, delivery receipts, EXCLUSIVE of receipts for Secret and Top Secret classified Defense information, route sheets, and related and similar documents.

Disposition: Cut off annually; destroy 2 months after files cut off.

102-09. Mailing Lists Files. Mailing lists and related material.

102-09.1. Correspondence, request forms, and other records on changes in mailing lists.

Disposition: Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner. GRS 13, Item 4a

102-09.2. Card list.

Disposition: Destroy individual cards when canceled or revised. GRS 13, Item 4b

102-09.3. Address plates, stencils, or tapes.

Disposition: Destroy or correct individual address plate, stencil, or tape when canceled or revised.

102-10. Postal Records Files

102-10.1. Records relating to incoming and out-going registered mail pouches.

Disposition: Destroy when 1 year old. GRS 12, Item 5a

102-10.2. Applications for postal registration and certificates of declared value of matter subject to postal surcharge.

Disposition: Destroy when 1 year old. GRS 12, Item 5b

102-10.3. Receipts for incoming and out-going registered and insured mail.

Disposition: Destroy when 1 year old. GRS 12, Item 5a

102-10.4. Return receipts for registered, insured, and special delivery mail.

Disposition: Destroy when 1 year old. GRS 12, Item 5a

102-10.5. Reports of loss, rifling, delay, wrong delivery, or other improper treatment of mail.

Disposition: Destroy when 1 year old. GRS 12, Item 5c. Note: Except when Secret or Top Secret information is involved; then transfer to related investigation case folder. See series 210-01.

102-11. Mail Control Files. Mail Control Records and Supporting papers.

102-11.1. Records consisting of receipts and routing information on incoming and outgoing mail when used as indices to correspondence files.

Disposition: Destroy when 1 year old. GRS 12, Item 6a

102-11.2. Statistical reports used on outgoing mail (air mail, special delivery, registered, foreign and parcel post over 4 pounds).

Disposition: Destroy when 6 months old. GRS 12, Item 6b

102-11.3. Requisitions for postage or stamps, exclusive of copies used as supporting documents to payment voucher.

Disposition: Destroy when 6 months old. GRS 12, Item 6c

102-11.4. Production reports on mail handling and work performed with compilations derived there from.

Disposition: Destroy when 1 year old. GRS 12, Item 6d

102-11.5. Records relating to remittances and other valuable enclosures received in incoming mail by mailroom.

Disposition: Destroy when 6months old. GRS 12, Item 6f

102-11.6. Records and receipts for mail and packages received.

Disposition: Destroy when 6 months old. GRS 12, Item 6f

102-12. Electrical Messages File. Records of electronically transmitted messages.

102-12.1. Incoming and outgoing electrically transmitted messages, other than those relating to routine matters of internal administration and operation.

Disposition: a. Permanent. Retire copies of messages and related papers 6 months after file cut off to the WNRC. Transfer to the National Archives when 30 years old. b. Destroy all other copies 6 months after transmission or receipt.

102-12.2. Incoming and outgoing electrically transmitted messages relating to routine matters of internal administration and operation.

Disposition: a. Cut off annually; dispose of record copies 2 years after cut off. b. Destroy all other copies 6 months after transmission. GRS 13, Item 3

102-12.3. Operating records of message units, including logs, registers, correspondence, performance reports and related records, exclusive of Top Secret and Secret classified Defense information receipts and destruction reports.

Disposition: Cut off annually. Destroy 6 months after cut off.

102-13. Program Progress Files. 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: a. Case files are permanent. Cut off when no longer needed for current business, retire copies 2 years after cut off to the WNRC. Transfer to the National Archives when 30 years

old. b. Destroy duplicate copies and non-record materials 6 months after cut off, unless part of a case file.

102-14. Implementation Files. Records on the implementation of procedures, systems, methods and standards, and associated matters that result in operational and administration changes.

Disposition: a. Cut off case files when no longer needed for current business, hold in the CFA 3 years and retire to the WNRC. Destroy when 30 years old. b. Destroy duplicate copies and non-record material 6 months after file cut off, unless part of a case file.

102-15. Informational Records Files. Informational records such as administrative memoranda, courtesy copies of correspondence and publications circulated for informational purposes only, including work sheets and papers, drafts, stenographic notebooks, tape or wire recordings, feeder reports that are transcribed to basic date reports temporary or interim material, and all other data used only as notes for preparing record material, exclusive of concurrences of coordination copies, or copies associated with case material.

Disposition: Destroy these materials 90 days after serving the purpose that they are collected.

102-16. Chronological Reading Files. Outgoing correspondence arranged in chronological order prepared for office routing to assist in dissemination of information.

Disposition: Destroy 1 year after monthly, quarterly, or semiannual cut off, except those maintained in the offices of the Secretary of Defense, immediate offices of the Heads of each OSD Component, and the Heads of those organizations under OSD for administrative support, which are permanent. Retire to the WNRC 3 years after cut off and transfer to the National Archives when 40 years old.

102-17. White House Correspondence Files.

102-17.1. White House Correspondence of a routine non-policy nature with no long-term value.

Disposition: Cut off every 6 months. Retire to the WNRC when 1 year old; destroy when 7 years old.

102-17.2. White House correspondence relating to substantive policy-related matters.

Disposition: Cut off every 6 months; retire to the WNRC 2 years after cut off. Transfer to the National Archives when 25 years old. NB: The Freedom of Information Act does not apply to the President, the White House Office, and the President's principal advisors. Mail of this nature referred to the OSD is personal mail and should be maintained separately from regular mail, as a courtesy for the White House, and it shall be returned thereto upon request. It may be transferred to the National Archives only if approved by the White House.

102-18. Congressional Correspondence (NC1-330-79-1).

102-18.1. Correspondence of a routine nature with no historical value. Congressional inquiries originated by Armed Forces personnel, the public, or members of Congress, that are forwarded to the OSD for reply. Examples include letters regarding the Office of Civilian Health and Medical Program of the Uniformed Services benefits for dependents, rejections for military service, requests for information about commissary privileges for retirees and retirement benefit programs, physician pay bonus program eligibility, and public inquiries as to how and where military equipment can be purchased, discrimination complaints, and public inquiries on Defense spending.

Disposition: Retire to the WNRC when 1 year old; destroy when 7 years old.

102-18.2. Correspondence of a substantial nature with historical significance. Congressional inquiries originated by Armed Forces personnel, the public, or members of Congress, that are forwarded to the OSD for reply. They are primarily originated by Congress and pertain to substantial policy issues such as plans, objectives, or responsibilities. Examples include letters between Congress and the Secretary of Defense outlining the appropriations history of weapons projects, international programs, DoD IT programs, international incidents such as the seizure of vessels or aircraft shootdowns, intelligence operations, war reserves, Defense contract awards, and important investigations.

Disposition: Permanent. Retire to the WNRC 1 year after close of the case; transfer to the National Archives when 20 years old.

102-19. Special Studies (NC1-330-80-11).

102-19.1. Reports and correspondence on formal inquiries or investigations for other than personnel or security reasons. Documents accumulated by special task forces or committees appointed for these tasks that do not fall in other identifiable functional areas.

Disposition: Permanent. Reports of the task groups or committee, retire to the WNRC when no longer needed for reference; transfer to the National Archives when 30 years old.

102-19.2. Reference and other non-record material accumulated in the study.

Disposition: Destroy when no longer needed for reference.

103. COMMON MISSION FILES

General policy and administrative files relating directly to the mission of an OSD functional element that are distinct from office administrative and management files. They are to be used only as needed. (NI-330-92-1, except where otherwise noted.)

103-01. Policy Files (NI-330-93-1). These files accumulate in the offices of the Secretary and Deputy Secretary of Defense, immediate offices of the Under and Assistant Secretaries of Defense, or any element of any OSD Component involved in making, promulgating, or analyzing policy relating to a Component's mission. They are not to be confused with Policy and Precedent (102-05), Publications (102-06), or Instruction (103-02) files and include the following:

103-01.1. Issuances such as memorandums and letters or other correspondence that announce, modify or change, rescind, or explain any process, procedure, or function.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

103-01.2. Analyses, studies, and substantive correspondence and memos that evaluate or assist in the evaluation of a process, procedure, or function.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

103-01.3. Routine background materials accumulated in the course of formulating or analyzing policy. They may consist of reference papers, extra copies of reports or other documents, and correspondence of a transitory or informational nature only. (File substantive background papers under 103-01.2.)

Disposition: Destroy when no longer needed for reference.

103-02. Instruction Files. 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. Retire to the WNRC 5 years after cut off. See section 213 for master copy of directives.

103-03. Administrative Files. Documents on the overall or general routine administration of a Component's activities, but exclusive of official personnel files pertaining to individuals described in this Instruction.

These files generally include the following:

103-03.1. 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.

103-03.2. Evaluations of suggestions that do not result in issuing an instruction or establishing a project.

103-03.3. 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.

103-03.4. Extracts of reports of inspections, surveys, or audits that pertain to the operation of the mission or functions.

103-03.5. Comments on or contributions to news releases or other media furnished to publicize and promote the mission or functions.

Disposition: Destroy after 5 years or discontinuance, whichever is first.

103-04. Agreement Files (N1-330-92-1). Agreements, memoranda of agreement (MOA), memoranda of understanding (MOU), and similar documents between the OSD Components and WHS and the Military Services, the Defense Agencies, Federal Agencies, non-Federal organizations or agencies, BUT NOT FOREIGN GOVERNMENTS. 801-04.2. These agreements are negotiated to provide for continued support and understanding between recognized organizations in the Department of Defense or within OSD concerning administrative, personnel, training and other matters. Included are the agreements, agreement checklists, amendments to agreements, review comments, related correspondence, and similar documents.

Disposition: a. Office requesting and office providing support: (1) Agreements involving transfer of personnel spaces and training shall be destroyed 6 years after superseded, cancellation, or termination of the agreement. (2) Agreements involving other forms of support shall be destroyed upon suppression, cancellation or termination. b. Reviewing offices: Destroy 1 year after superseded, cancellation, or termination, or when no longer needed, whichever is sooner.

103-05. Orientation and Briefing Files. 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: Destroy when superseded or obsolete.

103-06. Committee Files. Records Created by Advisory Commissions, Committees, Councils, Boards and Other Groups Established under the Federal Advisory Committee Act (FACA). [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.]

103-06.1. Committee Chairman or Secretariat Files. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as:

- Original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components.
- Agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed.
- One copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files.
- Correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission.
- Substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data).
- Questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item IIA (may include data maintained electronically).
- Records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act .
- Documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.
- Documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.

Disposition: Office of committee chairman or secretariat, whichever is designated office of record, transfer to the National Archives on termination of the Commission. Earlier transfer is authorized for commissions operating for 3 years or longer. GRS 26, Item 2a.

103-06.2. Committee Administrative Files. These files pertain to the offices of other committee members and relate to routine committee activities and/or do not contain unique information of historical value, included are:

- Correspondence, reference and working files of Commission staff [excluding files covered by 103-06.1].

- Audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events.
- Other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc.
- Extra copies of records described in 103-06.1, e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor.

Administrative records generated by an advisory committee – records relating to budget, training, supply or similar housekeeping or facilitation functions – may be disposed of in accordance with this schedule. Administrative records having retention periods outlasting the life of the committee such as payroll, personnel, and contract records will be transferred to the office providing administrative support.

Disposition: Destroy/Delete when 3 years old. [Note: Prior to termination NATIONAL ARCHIVES, in consultation with the Records and Declassification Division and Committee Staff, will review records to identify files that warrant permanent retention.] GRS 26, Item 2b.

103-07. Staff Visit Files. 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: Destroy when 5 years old, except files on recurring staff visits shall be destroyed on completion of the next visit.

103-08. Reference Paper Files. Documents used to facilitate, control, or supervise the performance of a specific function, process, or action as distinguished from those official records necessary for documenting performance of a function, process, or action they are used with. Reference paper files consist of the following types of documents:

103-08.1. Notes, drafts, feeder reports, news clippings, similar working papers, and other materials accumulated for preparation of a communication, a study, an investigation, a survey, an inspection, or other action. This description does not include official and quasi-official recommendations, coordinating actions, and other documents that contribute to or result from preparation of the communication or other record.

Disposition: Cut off on completion of the communication, study, survey report, or other action. Destroy in blocks after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized.

103-08.2. Cards, listings, indexes, and similar documents used for facilitating and controlling work.

Disposition: Destroy when no longer needed to facilitate or control work.

103-08.3. Copies of technical documents, intelligence documents, emergency plans, mobilization plans, and similar reproduced materials that do not fall within the description for reference publication files.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

103-08.4. Documents received for general information purposes that require no action and are not required for documentation of specific functions.

Disposition: Destroy after 1 year. Earlier destruction is authorized.

103-08.5. Extra copies of documents maintained by action officers that reflect actions taken by the action officer. Such files should not be established unless ABSOLUTELY NECESSARY.

Disposition: Destroy after 1 year. Earlier destruction is authorized.

103-08.6. Copies of documents accumulated by supervisory offices, such as chiefs of directorates, divisions, branches, or separate offices. These documents duplicate the record copy filed elsewhere in lower level offices of the same organizational element that are responsible for performing the action, process, or function. Such files should be established ONLY WHEN NECESSARY, and not in offices of the SAME organizational element.

Disposition: Destroy after 1 year. However, documents in the active file that require additional action or relate to reopened cases should be brought forward for filing in the current file. Earlier destruction is authorized.

103-09. Official Visits Files (NI-330-93-6). 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: 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.

103-10. General Accounting Office/Inspector General (GAO/IG) Audit Report Files (NI-330-93-6). These are copies of GAO/IG audit reports and other correspondence used to track the processing of inspection activities in connection with ongoing programs. Not to be confused with series 101-02., Office Inspection and Survey Files. This provides a central, discrete file of

these reports for use by action offices.

Disposition: a. Action copies. Cut off and retire to the WNRC when no longer needed for oversight or action; destroy after 15 years. b. Information copies. Destroy when no longer needed for reference purposes.

103-11. Legislative Branch Relations Files (NI-330-93-6). These files are used to maintain material pertaining to the preparation and submission of reports to and testimony and hearings before Congress as well as background papers containing comments on proposed legislation affecting programs. They are not to be confused with papers maintained under series 102-18., Congressional Correspondence, or series 1000, Office of the Assistant Secretary of Defense (Legislative Affairs).

Disposition: Cut off upon presentation or submission; destroy when 5 years old. Earlier destruction is authorized when no longer required for reference purposes.

103-12. Schedules of Daily Activities. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

Disposition: a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files (See 102-14 for calendars of high Government officials). Destroy or delete when 2 years old. GRS 23, Item 5a. b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files. Destroy or delete when no longer needed for convenience of reference. GRS 23, Item 5b

103-13. Transitory Records. Records of short-term interest (180 days or less), including in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value. Included are such records as:

- Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply;
- Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;
- Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records;
- Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;
- Suspense and tickler files or 'to-do' and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.

Disposition: Destroy immediately, or when no longer needed for reference, or under a predetermined schedule or business rule (e.g., implementing the auto-delete feature of “live” electronic mail systems). GRS 23, Item 7

103-14. Schedules of Daily Activities for High Level Officials. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by high-level Government officials while serving in an official capacity, created and maintained in hard copy or electronic form, excluding materials determined to be personal. [Note: High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.]

Disposition: a. Records containing substantive information relating to official activities, the substance of which has been incorporated into official files: Destroy or delete when 2 years old. (GRS 23, Item 5a.) b. Records documenting unique substantive information relating to official activities submit on SF 115 to NARA.

SERIES 200

OFFICE ADMINISTRATIVE FILES

200. GENERAL OFFICE ADMINISTRATION AND PERSONNEL MANAGEMENT FILES (NC1-330-77-4)

These files contain the documents necessary to perform the administrative functions of the OSD. They are generally associated with the Director of Administration and Management, OSD, or the Director, WHS. Transfer all permanent records of this series to the National Archives when 30 years old unless otherwise indicated or needed for Agency purpose.

201. ORGANIZATION PLANNING FILES

These files relate to the establishment of organizations and their functional relationships.

201-01. Organization Planning Files. Documents on the establishment of and changes in organizational functions and relationships of activities and Agencies, when such action affects Department of Defense. Included are reports of working groups, minutes of committee meetings and staff conferences; documents on overall functions and missions, copies of organizations and functions plans, manuals and charts; copies of published directives implementing establishment or change; and related or similar documents.

Disposition: Permanent. Cut off annually except that plans, charts, and manuals or portions thereof shall not be cut off until superseded or rescinded. Hold 2 years, retire to the WNRC.

201-02. Organizational Structure. Documents, charts, publications, and backup on the OSD organizational structure.

Disposition: Permanent. Retire to the WNRC 5 years after being superseded. Transfer to the National Archives when 25 years old.

201-03. Organization Activation and Status Change Files. Documents on constituting, reconstituting, organizing, converting, consolidating, assigning, locating, and affiliating offices or Agencies of the OSD

Disposition: Permanent. Cut off annually or on discontinuance or related offices as applicable; hold 1 year in the CFA, then retire to the WNRC. Included are requests for publications, implementing instructions, copies of affiliation agreements, coordination actions, and similar or related documents.

201-04. Management Practices. Papers, charts, diagrams, policy on management practices; theory techniques, case studies, and the like to develop and improve management practices.

Disposition: Permanent. Cut off annually, hold 3 years in the CFA, and retire to the WNRC.

201-05. Management Survey Case Files. Documents on the systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services. Individual studies and surveys may range in scope from comprehensive review of organization and all operating procedures to a study of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.

Disposition: a. Comprehensive surveys. Office conducting the survey or office sponsoring the contract: Permanent. Retire to the WNRC 3 years after superseded.
b. Others: Retire to the WNRC on completion of project. Destroy when 20 years old.
c. Office surveyed: Destroy on completion of next comparable survey, or when no longer required for reference.

201-06. Management Survey Background Files. Documents used in the collection of data for or during a management survey and accumulated in offices conducting or participation in the survey. Included are notes, statistical data, copies of standing operating procedures, organizational charts, functional charts, personnel data, and similar material collected for fact finding or backup purposes and documents reflecting preliminary arrangements incidental to specific surveys.

Disposition: Destroy when no longer required for reference.

201-07. Management Improvement Files (NC1-330-86-3).

201-07.1. Management Improvement Project Files. Documents on projects that result in initiation of changes in the manner or method of planning, directing, controlling, or doing work that results in increased effectiveness, efficiency, and economy. Included are studies, charts, coordination papers, recommendations, statistical data, and comparable or similar documents.

Disposition: Cut off on completion of project. Retire to the WNRC. Destroy 4 years after cut off.

201-07.2. Internal Management Control Program. Documents on the administration and control of the Internal Management Control (IMC) Program in the OSD.

Disposition: a. Lists of assessable units, management evaluation plans. Destroy when superseded. b. Vulnerability assessments. Cut off at end of IMC cycle (the current IMC cycle is 2 years), destroy after 4 years. c. Internal control reviews, semi-annual reports, annual reports. Cut off when final corrective action completed. Destroy 4 years thereafter. d. Annual Statements of Assurance submitted to the President and the Congress by Operating Committee (OC), DoD Management Systems, Director of Management Improvement, including backup materials. Hold until final corrective action taken; retire to the WNRC; transfer to the National Archives 20 years thereafter.

201-08. Management Improvement Project Background Files. Documents used as background material in developing and completing management improvement projects. Included are analyses, notes, drafts, interim reports, and data used but not included in the official project file.

Disposition: Destroy 3 years after completion of related project or on discontinuance, whichever is first.

201-09. Work Simplification Proposal Files. Documents on the analysis of specific work procedures to simplify and improve them. Included are proposals for improvement, work distribution charts, flow process charts, work counts, motion economy studies, layout studies, actions taken on proposals, and similar documents.

Disposition: Cut off when final action has been taken on proposal. Retire to the WNRC. destroy 25 years after cut off.

201-10. Committee Management Files. Documents used in exercising control over the establishment, use, and dissolution of committees. Included are proposals, approvals, and disapprovals to establish, continue or dissolve committees; charters, terms of reference, and agreements; copies of directives authorizing the establishment of committees and comments on them; documents used to nominate, approve, appoint, and relieve members. Minutes, final reports, and related papers. Office of committee management officer.

Disposition: Permanent. Cut off on disapproval or dissolution of the committee. Retire to the WNRC.

201-11. Advisory Committee Activity Reporting Files. Documents reflecting name, date established or approved for continuation, function, names and affiliations of members, dates of meetings held, and similar data on each advisory committee. Included are feeder reports, DoD-wide consolidations or summaries, and papers directly related to them.

Disposition: a. Office requiring the report: DoD-wide summaries or consolidations: Permanent. Retire to the WNRC when 5 years old. b. Feeder Reports: Destroy when 2 years old.

201-12. Federal and State Relations Files. Documents on Federal and State agreements, legal relationships, cooperation emergency support, and real estate.

Disposition: Permanent. Retire to the WNRC 5 years after canceled or superseded. Backup material may be destroyed when canceled or superseded.

201-13. Emergency Planning Files. Documents that describe evacuation, relocation, vital records program, and continuity of operation, personnel assignments and related procedures (203-14.). (Function transferred to OUSD (Policy).)

Disposition: Permanent. Retire to the WNRC 3 years after cancellation or when superseded.

201-14. Staffing Surveys and Studies Files. Results, recommendations, charts, and papers on staffing surveys and studies within the OSD. These generally result from new functional requirements requiring new staffing and include both civilian and military.

Disposition: Destroy in the CFA when 5 years old.

201-15. Administrative Guidance Instruction Files. Documents on Administrative Instructions, backup, previous issues, notes, and related papers.

Disposition: Retire to the WNRC 5 years after superseded or obsolete. Destroy when 20 years old.

201-16. Administrative Services and Facilities Files. Documents on space, logistical services (telephone and supplies) layout, furnishings, building plans and services.

Disposition: Destroy 5 years after no longer current.

201-17. Organization Charter Files. Organizational Charter and Delegations of Authority. Documents that authorize and define the scope of authority, primary functions, and organizational relationships within the DoD offices or special committees.

Disposition: Permanent. Retire record copies to the WNRC 1 year after no longer current. Destroy duplicate copies when no longer needed.

201-18. Congressional Correspondence. 102-18. for proper disposition.

201-19. Chronological Reading Files. 102-16. for proper disposition.

202. OFFICE PERSONNEL FILES

The files described in this subgroup are maintained by operating officials and are used in administering military and civilian employees of the organizational segments that are under their control.

202-01. General Personnel Administrative Files

202-01.1. Files on the general administration and operation of personnel functions and including college programs, selective placement programs (persons with disabilities, veterans, and ex-offenders) programs, special careers (Summer Aid, Intergovernmental Affairs Fellowship, and Stay-in-School), examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at Agency staff planning levels.

Disposition: Destroy when 3 years old.

202-01.2. Correspondence, reports, memoranda, and other records on employment programs and functions, and manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions.

Disposition: Destroy when 5 years old.

202-02. Office Personnel Register Files. Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting personnel arrival, departure, on leave and temporary duty travel, but not official personnel registers used as direct source documents for preparing morning reports.

Disposition: Destroy after 6 months. Earlier disposal is authorized.

202-03. Visitor Control Files. Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

Disposition: a. For areas under maximum security destroy 5 years after final entry or 5 years after date of document, as appropriate. b. For other areas destroy 2 years after final entry or 2 years after date of document, as appropriate. (GRS 18, Item 17a & 17b)

202-04. Strength Reports. Reports that provide information on strength authorizations and employment. See sections 202-23. and 202-25.3.

202-05. Position Classification Files.

202-05.1. Position Classification Files.

202-05.1.1. Standards. Office of Personnel Management (OPM) standards determining title, series and grade based on duties, responsibilities, and qualifications requirements.

Disposition: Destroy when superseded or obsolete. GRS 1, Item 7a(1)

202-05.1.2. Development. Memoranda, correspondence, and other records on the development of standards for classification of positions peculiar to the Agency and OPM approval or disapproval.

202-05.1.2.1. Case File.

Disposition: Destroy 5 years after position is abolished or description is superseded. GRS 1, Item 7a(2)(a)

202-05.1.2.2. Review File.

Disposition: Destroy when 2 years old. GRS 1, Item 7a(2)(b)

202-05.2. Position Descriptions (PD)s. Files describing established positions including information on title, series, grade, duties and responsibilities.

202-05.2.1. Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

Disposition: Destroy 2 years after position is abolished or description superseded. GRS 1, Item 7b

202-05.2.2. All other copies.

Disposition: Destroy when position is abolished or description superseded.

202-05.3. Survey Files.

202-05.3.1. Classification Survey Reports. Classification survey reports on various positions prepared by classification specialists, including periodic reports such as the Annual Written Amendment and Annual Supergrade Position Reports.

Disposition: Office of origin. Destroy when 3 years old or 2 years after regular inspection, whichever is sooner. GRS 1, Item 7c(1)

202-05.3.2. Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records on inspections, surveys, desk audits, and evaluations.

Disposition: Destroy when obsolete or superseded. GRS 1, Item 7c(2)

202-05.4. Appeals Files.

202-05.4.a. Appeals Files. Case files on classification appeals, excluding OPM Classification certificate.

Disposition: Destroy 3 years after case is closed. GRS 1, Item 7d(1)

202-05.4.b. Certificates. Certificates of classification issued by OPM.

Disposition: Destroy after affected position is abolished or superseded. GRS 1, Item 7d(2)

202-06. Pending Request Files. Suspense copies of SF 52, "Request for Personnel Action," for various categories of civilian personnel actions, such as accessions, position changes, rate of pay changes, and separations.

Disposition: Destroy on receipt of notification of completion of requested personnel action.

202-07. Office Personnel Information Files. Documents on the administration of individual civilian employees and military personnel that are duplicated in, or that are not appropriate for including in the official personnel folder (OPF), the personnel records jacket, the PD file, or the pending request file. Included are notices that individuals have been cleared for classified material, other documents on personnel security, retained copies of reports and other papers on individual injuries, letters of appreciation and commendation, records reflecting training received by individuals, documents reflecting assigned responsibilities of individuals, copies of performance appraisals, off-duty employment information and comparable papers.

Disposition: Review at end of year and destroy documents that have been superseded or are no longer applicable.

202-08. Recruitment and Placement Files.

202-08.1. Documents on employees considered for vacancies, interviews, qualification summaries, notices of eligibility, and related material.

Disposition: Destroy after 2 years old or after OPM inspection, whichever is first.

202-08.2. Correspondence offering appointments to potential employees.

202-08.2.1. Accepted offers.

Disposition: Destroy when appointment is effective. GRS 1, Item 4a

202-08.2.2. Declined offers.

202-08.2.2.1. When name is received from certificate of eligibles.

Disposition: Return to OPM with reply and application. GRS 1, Item 4b(1)

202-08.2.2.2. Temporary or excepted appointment.

Disposition: File inside application. GRS 1, Item 4b(2)

202-08.2.2.3. All others.

Disposition: Destroy immediately. GRS 1, Item 4b(3)

202-08.3. Recruitment and Placement Files (N1-330-87-1). Applications for positions within Department of Defense Dependent Schools (DoDDS). All forms and materials required for the U.S. recruitment program and for local-hire programs, including interview results, offer letters, acceptance letters, and declination letters.

Disposition: Selectees, transfer to OPF; consideration declinations, destroy 2 months after annual cut off date (December 1); all others, destroy 2 months after annual cut off, unless applicant has indicated continued interest in the program (by the established deadline), that the case file is brought forward (may be returned to applicant if requested by the deadline).

202-09. Standards of Conduct Files. Documents on procedures to ensure that all personnel fully understand the standards of conduct and ethics. For example, procedures requiring that each individual periodically read applicable directives and sign a document indicating that the directives are understood.

Disposition: Destroy after the next periodic application or on inactivation of the office, whichever is first.

202-10. Nondisclosure Agreement and Security Awareness Files.

202-10.1. Copies of nondisclosure agreements, such as SF 312, "Classified Information Nondisclosure Agreement", signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files but may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).

Disposition: a. If maintained separately from the individual's OPF, destroy when 70 years old. GRS 18, Item 25 a. b. If maintained in the individual's OPF, apply the disposition for the OPF. GRS 18, Item 25b

202-10.2. Security Awareness Files. Documents on procedures used to obtain compliance with security regulations by all personnel. For example, procedures requiring that each individual periodically read applicable security regulations and sign a memorandum indicating that the regulations are understood.

Disposition: Destroy after the next periodic application or on inactivation of the office, whichever is first.

202-11. Temporary Duty Travel Files. Copies or requests and authorizations for military personnel tour duty (TDY) travel and civilian personnel TDY and permanent change of station (PCS) travel, similar issuances, and related documents on travel.

Disposition: Destroy when 6 years old. GRS 9, Item 3(a)

202-12. Official Personnel Folders.

202-12.1. Transferred employees. Records maintained on the right side of the OPF.

Disposition: See Federal Personnel Manual (FPM) for Supplement 293-31, Subchapter S4 for instructions on employees folders transferred to another Agency. GRS 1, Item 1

202-12.2. Separated employees. Records maintained on the right side of the OPF.

Disposition: Transfer folder to: National Archives and Records Administration, National Personnel Records Center (NPRC), 111 Winnebago Street, St. Louis, MO 63118, 30-120 days after separation. NPRC shall destroy 65 years after separation from Federal service. GRS 1, Item 1b

202-12.3. Temporary Individual Employee Records. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records. GRS 1, Item 10a

Disposition: Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See FN 202-12.4 for disposition of I-9 Forms and item 202-12.5 of this schedule for disposition of temporary performance-related records.

202-12.4. Immigration and Naturalization Service Form I-9. Form is maintained on the left side of the Official Personnel Folder. GRS 1, Item 10b

Disposition: Destroy 3 years after employee separates from service or transfers to another agency.

202-12.5. Employee Performance File System Records. Records maintained on the left side of the Official Personnel Folder. GRS 1, Item 23

202-12.5.1. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).

202-12.5.1. 1. Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents.

Disposition: Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.

202-12.5.1.2. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Disposition: Destroy when superseded.

202-12.5.1.3. Performance-related records pertaining to a former employee.

202-12.5.1.4. Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating. Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see FN 202-12.2.). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 202-12.5.1.5. of this schedule.

202-12.5.1.5. All other performance plans and ratings.

Disposition: Destroy when 4 years old.

202-12.5.1.6 All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based, to include supporting documents.

Disposition: Destroy when 4 years old.

202-12.5.2. SES appointees (as defined in 5 U.S.C. 3132a(2)).
[Performance records pertaining to Presidential appointees are not covered such records must be scheduled by submitting an SF 115 to NARA.]

202-12.5.2.1. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Disposition: Destroy when superseded.

202-12.5.2.2. Performance-related records pertaining to a former SES appointee.

202-12.5.2.2.1. Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Disposition: Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see FN 202-12.2.). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule.

202-12.5.2.2. All other performance ratings and plans.

Disposition: Destroy when 5 years old.

202-12.5.2.3. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

Disposition: Destroy 5 years after date of appraisal.

202-13. Survey Files. See 202-05.3.

202-14. Application Files (SF 171). Unsuccessful applications for appointment and related papers, excluding records on appointments requiring Senatorial confirmation, and applications filed in official personnel folders. File in accordance with inspection requirements of the FPM.

Disposition: Destroy upon receipt of OPM report of inspection or when 2 years old, whichever is earlier, providing requirements of Chapter 33, Section A-4 of the FPM are observed. GRS 1, Item 15

202-15. Correspondence Files.

202-15.1. Correspondence in Personnel and Security (P&S), WHS on its administration and operation.

Disposition: Destroy 3 years after file cut off. GRS 1, Item 3

202-15.2. All copies of correspondence and forms maintained as temporary records on the left side of the OPF in accordance with the FPM, Chapter 293, and Supplement 293-31.

Disposition: Destroy on transfer to another Agency (except in a transfer of functions) or separation of the employee.

202-15.3. Correspondence and forms in P&S relating to individual employees that are not authorized for maintenance in the OPF and not covered elsewhere in this schedule.

202-15.3.1. Correspondence and forms on pending personnel actions.

Disposition: Destroy when action is completed. GRS 1, Item 17a(1)

202-15.3.2. General correspondence and forms including retention registers from which reduction-in-force actions have been taken.

Disposition: Destroy 2 years after file is closed. GRS 1, Item 17b(1)

202-15.3.3. Retention registers from which no actions have been taken.

Disposition: Destroy when superseded or obsolete. GRS 1, Item 17b(2)

202-16. Service Record Card Files (SF 7 or its equivalent).

202-16.1. Cards for employees separated on or before December 31, 1947.

Disposition: Transfer to NPRC (CPR) St. Louis, MO 63118; destroy 60 years after earliest personnel action. GRS 1, Item 2(a)

202-16.2. Cards for employees separated or transferred on or after January 1, 1948, in accordance with FPM Supplement 293-31.

Disposition: Destroy 3 years after year of employee's separation or transfer to another Agency. GRS 1, Item 2(b)

202-17. Individual Volunteer Files (NI-330-98-1). Files include Volunteer Agreement form, Parental Permission form for minors wishing to volunteer, hours worked as a volunteer, and other records pertaining to the service of an individual volunteer. Records are maintained by the organizations within OSD using the services of volunteers. (Privacy Act Systems Notice OPM/GOVT-1)

Disposition: Cut off when volunteer departs program. Destroy 4 years after cut off.

202-18. PDs and Related Material Files.

202-18.1. Record copy of position descriptions that include information on title, series, grade, duties, responsibilities, and related documents.

Disposition: 202-05.2.1.

202-18.2. Survey Files.

Disposition: 202-05.3.

202-18.3. Appeals files. Case files on classification appeals.

Disposition: 202-05.4.

202-19. Certificate of Eligibility Files.

202-19.1. Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Disposition: Destroy when 2 years old. GRS 1, Item 5

202-19.2. Certificate of Eligibility Files (NC1 330-87-1). Case files on educators in the DoDDS system including certificates of DoDDS certification, college transcripts, other supporting documents. Also included are correspondence and memos and other material on each teacher.

Disposition: Destroy 1 year after educator no longer employed by DoDDS. Educators participating in the DoDDS Administrative Reemployment Rights (ARR) program, hold until return to active employment, then consolidate with active files for that year.

202-20. Suggestion and Superior Accomplishment Awards Files.

202-20.1. Employee suggestion case files including files on management improvement suggestions considered under various legislation.

Disposition: Retire 1 year after cut off for retention of: a. the original case file for an additional 5 years, and b. the duplicate copies for an additional 2 years.

202-20.2. Case files on rewards for superior accomplishments.

Disposition: Destroy 6 months after file cut off. Cut off file annually.

202-20.3. Certificates of performance ratings.

Disposition: Destroy 2 years after cut off.

202-21. Efficiency Rating Files. Duplicate copies of material on a review of an efficiency rating by a board on which the original case material has been forwarded to the OPM.

Disposition: Cut off annually. Destroy 1 year after file cut off.

202-22. Notification of Personnel Action Files.

202-22.1. Chronological file copies of notification of personnel actions, including fact sheets.

Disposition: Destroy when 2 years old. FPM Supplement 293-31. GRS 1, Item 14(a)

202-22.2. Pay or fiscal copy.

Disposition: Destroy 2 years after audit of related pay records by the GAO.

202-22.3. All others.

Disposition: Destroy when 1 year old, providing the requirements of FPM Supplement 293-31 are observed.

202-22.4. DoDDS Inter-Intraregional and/or Transfer and Reassignment File (NC1-330-87-1). Applications, reports, memos, correspondence on the reassignment of personnel between and among regions through the DoDDS Interregional transfer and/or Intraregional Reassignment Programs.

Disposition: Cut off annually. Destroy 1 year after cut off.

202-22.5. Educator Career Program. Applications, reports, memos, correspondence on the lateral transfer and opportunities for promotion of DoDDS personnel afforded by the DoDDS Educator Career Program.

Disposition: Cut off annually. Destroy 1 year after cut off.

202-23. Personnel Statistical Reports Files.

202-23.1. Statistical reports maintained or prepared by offices other than P&S.

Disposition: Destroy 2 years after cut off.

202-23.2. Statistical summaries and reports on employee health and related papers, exclusive of the copy maintained by the reporting unit.

Disposition: Destroy 2 years after cut off.

202-24. Policy and Procedure Record Material Files. Documentation of policies, procedures, and standards governing civilian personnel administration.

Disposition: Permanent. Retire file to the WNRC 1 year after file cut off. Transfer to National Archives when 25 years old.

202-25. Civilian Manpower and Personnel Records Files.

202-25.1. Records that relate to the development and implementation of policies, procedures, and standards for civilian personnel management and studies, surveys or other material that relate to National Manpower Administration that is of interest to the Department of Defense.

Disposition: Permanent. Retire record copies and all backup material to the WNRC 1 year after implementation of the policy, procedures or standards. Transfer to the National Archives after 20 years. Destroy duplicate and reproduced copies when the policy, standard, or procedure is rescinded or revised, unless part of a case file.

202-25.2. Records that relate to the internal management and operational aspects of civilian personnel administration, such as records on the control of positions, determinations, and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded, and reporting records covering civilian personnel strength not covered under other items in this section.

Disposition: Destroy when 5 years old.

202-25.3. Records that support reports and other statistical data required by law or regulation such as percentages or minorities, statistics or progress achieved in implementation of equal employment opportunity (EEO) program, grade distribution and the like.

Disposition: Permanent. Retire record copies supporting related data to the WNRC 2 years after file cut off. Transfer to National Archives after 20 years old. Destroy all duplicate and non-record material 6 months after file cut off unless part of case file.

202-26. Department of Defense Civilian Employees Health Unit and Employee Medical Folder (EMF) Records.

202-26.1. Health Unit Records. These records contain forms, correspondence, and other records on an employee's medical history, occupational injuries or diseases, physical examinations, and all other treatment received in health units. Included are industrial hygiene consultations, laboratory and X-ray findings, reports of pulmonary function tests, audiograms, records tests, and chemical hazards, clinical record cover sheets or equivalent.

Disposition: Retire records of civilian employees who are separated from the National Personnel Records at the end of each calendar year. Destroy 30 years later (See note 3 below). NC1-330-81-7.

Notes:

1. These records are not to be confused with hospital in- and out-patient clinical records retained for 75 years after birth date for nonmilitary persons pursuant to other approved records control schedules.

2. Original pre-employment, disability retirement, and fitness for duty examinations are to be filed in the OPF upon separation of the employee. FPM Supplement 293-31.

3. Longer retention periods may be required by Regulatory Agencies such as: Occupational Safety and Health Administration (OSHA), Nuclear Regulatory Commission (10 CFR, Part 20), and Environmental Protection Agency (EPA). In this event, a new SF-115 must be submitted.

4. Employee Medical Folders. These files consist of long-term medical records as defined in the FPM 293-31.

Disposition: a. For transferred employees, see the FPM for instructions. b. For separated employees, transfer to the NPRC 30 days after separation. The NPRC shall destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is latest. GRS 1, Item 21a(2) c. Temporary or short-term records as defined in the FPM, destroy 1 year after separation or transfer of the employee. GRS 1, Item 21b d. Individual Employee Health Case Files created before establishment of the EMF system that have been retired to an FRC, destroy 60 years after retirement. GRS 1, Item 21c

202-27. Military Personnel. Official Military Personnel Records created as the result of detail or assignment to the OSD that normally would be made a part of the individual's personnel file and other pertinent and related correspondence. Orders and citations for the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, and OSD Identification Badge.

Disposition: Records maintained by the Service Representatives in OSD Military Personnel are considered unit-level files for the Service Elements and are maintained in accordance with the appropriate Service regulations.

202-28. Military Manpower and Personnel Records Files.

202-28.1. Records on the development and implementation of policies, procedures, and standards for military personnel management and studies, surveys, or other material that relate to National Manpower Administration that is of interest to the Department of Defense.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete as appropriate for documents maintained in accordance with series 103-01.

202-28.2. OSD manpower authorizations, justification folders for new positions or deletions; control over grade requirements. (These are not individual personnel files.)

Disposition: Retire to the WNRC 1 year after no longer current. Destroy when 30 years old.

202-28.3. Policy matters on the OSD Identification Badge.

Disposition: Destroy 3 years after superseded.

202-28.4. Records that relate to the internal management and operational aspects or military personnel administration, such as records on position control; determinations and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded; and other reporting records covering military personnel strengths that are not covered under other items in this Instruction.

Disposition: Retire record copies to the WNRC 1 year after cut off. Destroy when 25 years old. Destroy duplicate and non-record material 6 months after cut off unless part of a case file.

202-28.5. Records that support reports and other statistical data required by law or regulation.

Disposition: a. Permanent. Retire record copies and supporting or relating data to the WNRC 2 years after cut off. Transfer to the National Archives when 20 years old. b. Destroy duplicate and non-record material 6 months after cut off.

202-29. Individual Accounting Files. Records that relate to accounting for individuals.

Disposition: Destroy individual leave authorization when adjustments are made.

202-30. Military Leave Files. Records that relate to leave of military personnel.

Disposition: Records maintained by the Service Representatives in OSD Military Personnel are considered unit-level files for the Service Elements and maintained in accordance with the appropriate Service regulations.

202-31. Individual Actions Files. Correspondence on individual actions about personnel, that do not qualify as records of permanent value; records of criticism or complaint when no official action is taken.

Disposition: Destroy file 6 months after individual is released from OSD duty.

202-32. Statistical Reports File.

202-32.1. Statistical reports maintained or prepared by offices other than P&S on military personnel matters.

Disposition: Destroy when 2 years old.

202-32.2. Records submitted by the Military Departments supporting reports, policy statements, standardized procedures, criteria, and other matters on the overall administration of military personnel.

Disposition: Permanent. Retire to the WNRC when 5 years old.

202-33. Policy and Procedure Records Files - Military Personnel.

202-33.1. Statistical summaries and reports on military personnel training, including outlines of the course, names of individuals attending, copies of speeches, lecture material, required reading material and all other material relating to educational programs conducted by the OSD independently of the Military Departments.

Disposition: Permanent. Statistical summaries and reports. Transfer record copies to the WNRC when course is revised or discontinued. Transfer to National Archives when 20 years old. Destroy other materials when it becomes obsolete.

202-33.2. Documentation of policies, procedures and standards governing military personnel administration, including position evaluation and assignment, and military personnel quotas for both normal and mobilization periods.

Disposition: Permanent. Transfer discontinued file to the WNRC when 1 year old. Transfer to the National Archives when 20 years old. Destroy duplicate copies when superseded or revised unless part of a case file.

202-34. Internal Management Files. Correspondence on internal management and operations affecting military personnel administration.

Disposition: Destroy material when 5 years.

202-35. Military Awards. Official record copies of awards approved by the Secretary of Defense for presentations such as the Defense Distinguished Service Medal, Joint Service Commendation Medal, and comparable awards.

Disposition: Retire OSD official documents to the WNRC 3 years after cut off. Destroy when 15 years old. See 202-28 for disposition of copies of awards to individual Military Services.

202-36. Military Acceptance Files. Records on the establishment of policy, standards, and criteria governing admission and acceptance for military service and means of obtaining individuals in critical skills areas, including pay benefits, allowance, and other associated matters.

Disposition: Permanent. Retire to the WNRC 2 years after file cut off. Transfer to National Archives when 20 years old. Destroy duplicate and non-record material 6 months after cut off.

202-37. Labor Management Relations Records.

202-37.1. Labor Management Relations and Case Files. Correspondence, memoranda, reports, and other records on the relationship between management and employee unions or other groups.

202-37.1.1. Office negotiating agreement.

Disposition: Destroy when 5 years old. GRS 1, Item 28a(1)

202-37.1.2. Other offices.

Disposition: Destroy when superseded or obsolete. GRS 1, Item 28a(2)

202-37.2. Labor Arbitration General and Case Files. Correspondence, forms, and background papers on labor arbitration cases.

Disposition: Destroy 5 years after resolution of case. GRS 1, Item 28b

202-38. Labor Management Relations Files. See 1802-02 for the DoD files on the subject.

202-39. Security Policies Application. Documents concerning general information applicable to personnel security. Security of classified matter in the personnel office and related material.

Disposition: Destroy when no longer current.

202-40. Personnel Security Clearance Files. Relates to the administration of the personnel security program involving clearances of civilian employees, applicants for employment, consultants, contractors and military personnel.

202-40.1. Case files created on civilian personnel, consultants, and applicants for employment, containing requests for security clearances, copies of documents accumulated as a result of creating, controlling, requesting and transmitting investigative dossiers and clearance certifications between various investigative and clearance-granting Agencies, briefings and/or debriefings, routine requests for information, tracer letters, transmittal letters, lists or letters reflecting security clearance of individuals.

Disposition: Inactivate file when employee leaves the Agency; retain in files storage area and destroy after 2 years.

202-40.2. Summaries of reports of investigation relating to cases where serious derogatory information is involved, including documents reflecting actions taken and copies of documents similar to those described in 202.40.1.

Disposition: Retain in files storage area and destroy 5 years after date of clearance determination.

202-40.3. Case files created on individuals for whom WHS has no clearance granting authority, i.e., military and contractor personnel, containing letters of transmittal, miscellaneous correspondence, verification of clearances granted by the appropriate Military Department or Defense Industrial Security Clearance Office, briefings and/or debriefings.

Disposition: Destroy military personnel case files when individual leaves WHS. Destroy contractor case files when notification of Sensitive Compartmented Information access approval by Defense Intelligence Agency. (Investigative reports shall be destroyed in accordance with regulations established by each investigative Agency.)

202-41. Special Assignments. Documents containing information on the security clearance and authorization for access to particularly sensitive classified matter. Not including reports of investigation, counterintelligence, or clearance documents filed in the official personnel folder.

Disposition: Destroy on transfer or separation of individual concerned.

202-42. Statements of employment and financial interests, and related papers.

Disposition: Destroy 2 years after employee leaves a position that requires a statement, or 2 years after the employee leaves the Agency, whichever is earlier.

202-43. Equal Employment Opportunity Records. Official Discrimination Complaint Case Files. OSD file containing complaints with related correspondence, reports exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 29 CFR 1613.222.

202-43.1. Cases resolved within the Agency by the Equal Employment Opportunity Commission (EEOC), or by a U.S. Court.

Disposition: Destroy 4 years after resolution of case. GRS 1, Item 25a

202-43.2. Copies of Complaint Case Files. Duplicate case files or documents on case files retained in Official File Discrimination Complaint Case File.

Disposition: Destroy 1 year after resolution of case.

202-43.3. Background Files. Background records not filed in the Official Discrimination Complaint Case File.

Disposition: Destroy 2 years after final resolution of case. GRS 1, Item 25c(1)

202-43.4. Compliance Records.

202-43.4.1. Compliance Review Files. Reviews, background papers and correspondence on contractor employment practices.

Disposition: Destroy when 7 years old. GRS 1, Item 25d(1)

202-43.4.2. EEO Compliance Reports.

Disposition: Destroy when 3 years old. GRS 1, Item 25d(2)

202-43.5. Employee Housing Requests. Forms requesting Agency assistance in housing matters, such as rental or purchase.

Disposition: Destroy when 1 year old. GRS 1, Item 25e

202-43.6. Employment Statistics Files. Employment statistics relating to race and sex.

Disposition: Destroy when 5 years old. GRS 1, Item 25f

202-43.7. EEO General Files. General correspondence and copies of regulations with related records on the Civil Rights Act of 1964 and the EEO Act of 1972 and any pertinent future legislation; and Agency EEO committee meetings and records including minutes and reports.

Disposition: Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. GRS 1, Item 25g

202-43.8. EEO Affirmative Action Plans (AAP).

202-43.8.1. Agency copy of consolidated AAP(s).

Disposition: Destroy 5 years from date of plan. GRS 1, Item 25h.(1)

202-43.8.2. Agency feeder plan to consolidated AAP(s).

Disposition: Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. GRS 1, Item 25h.(2)

202-44. Personnel Injury Files. Correspondence and related investigatory records on-the-job injuries whether or not a claim for compensation was made; excluding copies filed in the OPF, and copies submitted to the Department of Labor.

Disposition: Destroy 3 years after cut off. GRS 1, Item 31

202-45. Employee Awards Files.

202-45.1. General awards records.

202-45.1.1. Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to Agencies' sponsored cash and non-cash awards, such as incentive awards, within grade merit increases, suggestions, and outstanding performance.

Disposition: Destroy 2 years after approval or disapproval. GRS 1, Item 12a (1)

202-45.1.2. Correspondence of memoranda on awards from other Government Agencies or private organizations.

Disposition: Destroy when 2 years old. GRS 1, Item 12a (2)

202-45.1.3. Lists or indexes to Agency award nominations. List of nominees and winners, and indexes of nominations.

Disposition: Destroy when superseded or obsolete. GRS 1, Item 12(d)

202-45.1.4. Military Awards (NC1-330-77-17). Awards approved by the Secretary of Defense for presentation, such as the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, the OSD Identification Badge, or other comparable awards sponsored by the OSD.

Disposition: Retire to the WNRC 3 years after cut off. Destroy when 15 years old. 202-27. for disposition of copies of awards to individual Military Services. Record copies are maintained in the individual's military personnel jacket.

202-46. Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.

202-46.1. Supervisor's Personnel Files. Correspondence, memoranda, forms, and other records on positions, authorizations, pending actions; copies of PDs, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

Disposition: Review annually and destroy superseded or obsolete documents, or destroy

all documents on an individual employee 1 year after separation or transfer. GRS 1, Item 18(a)

202-46.2. Duplicate Documentation. Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Disposition: Destroy when 6 months old. GRS 1, Item 18(b)

202-46.3. Personnel Tracking System (PTS) Master File. Information systems containing personnel and management data about military and civilian personnel, contractors, and non-DoD employees. Data is derived from related files in the civilian and military personnel systems, Joint Table of Distribution (JTD), Joint Personnel Adjudication System (JPAS), Defense Clearance and Investigation Index (DCII), DD 254 (Contract Security Classification Specification, Department of Defense) and visitor requests. May contain information concerning: strength reports; office personnel information (emergency contact information, duty hours, career status, pay status, education, home address and personal telephone numbers, etc); office visitors; position titles; office vacancies; names of organizations; travel; manpower information; personnel security clearances; special assignments; personnel statistical reports; parking permits; and related data. (N1-330-08-2).

Disposition: Cutoff record on separation or transfer of individual. Delete record when no longer needed for conducting business but do not retain longer than 6 years.

202-47. Personnel Counseling Records. These files consist of counseling files, reports of interviews, analyses, and related records. (For records pertaining to coordinating, planning, and directing the Federal Workplace Drug Free Testing Program, 202-51.)

Disposition: Destroy 3 years after termination of counseling. GRS 1, Item 26a

202-48. Training Records.

202-48.1. Training Aids.

202-48.1.1. One copy of each manual, syllabus, textbook, and other training aids developed by the Agency.

Disposition: Permanent. Retire to the WNRC when course is revised or discontinued.

202-48.1.2. Training aids from other Agencies or private institutions.

Disposition: Destroy when superseded or obsolete.

202-48.2. General file of Agency-sponsored training.

202-48.2.1. Correspondence, memoranda, agreements, authorizations reports, requirement reviews, plans, and objectives on the establishment and operation of training courses and conferences.

Disposition: Destroy when 5 years old or 5 years after completion of a specific training program. GRS 1, Item 29a(1)

202-48.2.2. Background and working papers.

Disposition: Destroy when 3 years old. GRS 1, Item 29a(2)

202-48.3. Employee training. Correspondence, memoranda, reports, and other records on the availability of training and employee participation in training programs sponsored by other Government Agencies or non-Government institutions.

Disposition: Destroy when 5 years old or when superseded or obsolete, whichever is sooner. GRS 1, Item 29(b)

202-48.4. Course Announcement Files. Reference file of pamphlets, notices, catalogs and other records that provide information on courses or programs offered by Government or non-Government organizations.

Disposition: Destroy when superseded or obsolete.

202-49. Grievance, Disciplinary, and Adverse Action Files.

202-49.1. Administrative Grievance Files (5 CFR Part 771). Records originating in the review of grievance and appeals raised by Agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records on a reconsideration request.

Disposition: Destroy no sooner than 4 years but no later than 7 years after case is closed. GRS 1, Item 30a

202-49.2. Adverse Action Files (5 CFR Part 752) and Performance-Based Actions (5 CFR 432). Case files and related records to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the notice of proposed action with supporting papers; statements of witnesses; employee's reply when written; hearing notices, reports, and decisions; reversal of decision; a summary thereof when made orally; the notice of decision and reasons; and appeals records. EXCLUDING letters of reprimand which are filed in the OPF.

Disposition: Destroy when case is 4 years but no later than 7 years after case is closed. GRS 1, Item 30b

202-49.2.1. Informal Disciplinary Files. Case files and related records created in reviewing an informal action (Letters of Warning, Letters of Caution, Letters of Counseling and Leave Restriction Letters) against an employee, including all supporting documentation.

Disposition: Destroy when 4 years old. GRS 1, Item 30b

202-49.2.2. Unacceptable Performance Files. Case files and related records created in reviewing an unacceptable performance action (denial of within-grade, unacceptable performance rating) against an employee; includes performance ratings, progress reviews, notices of opportunity to improve, notices of denial of within-grade, copy of proposed performance action with supporting papers; employee's reply when written; a summary thereof when made orally; hearing notices; reports; the notice of decision and the reasons thereof; reversal of action; and appeal records.

Disposition: Destroy 4 years after case is closed. GRS 1, Item 30b

202-50. Individual Promotion Files. Records on the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluation of candidates, EXCLUDING any records that duplicate information in the promotion plan, are in the OPF or in other personnel records.

Disposition: Destroy 2 years after the personnel action or after the action has been audited by the OPM, whichever is sooner.

202-51. Federal Workplace Drug Testing Program Files. These files consist of drug testing program records created under E.O. 12564 and P.L. 100-71, Section 503 (101 Stat. 468) excluding consolidated statistical and narrative reports concerning the operation of the Agency program (902.). Disciplinary action case files on actions taken against employees for drug use, possession, failure to comply with drug testing procedures, and similar matters are covered by 202-49.2, Adverse Action Files. Any records that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case files.

202-51.1. Drug test plans and procedures, excluding documents filed in formal issuances such as directives, procedures handbooks, etc. These files consist of copies of plans and procedures, with related drafts, correspondence, memoranda, and other records on the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Disposition: Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. GRS 1, Item 36a

202-51.2. Employee acknowledgement of notice forms. These are forms completed by employees whose positions are designated sensitive for drug testing

purposes acknowledging that they have received notice that they may be tested.

Disposition: Destroy when employee separates from testing-designated position. GRS 1, Item 36b

202-51.3. Selection and/or scheduling records. These are records relating to the selection of specific employees and/or applicants for testing and the scheduling of tests. Included are lists, notification letters, and testing schedules.

Disposition: Destroy when 3 years old. GRS 1, Item 36c

202-51.4. Records on the collection and handling of specimens.

202-51.4.1. Bound record books containing identifying data on each specimen, recorded at each collection site in the order the specimens were collected.

Disposition: Destroy 3 years after date of last entry. GRS 1, Item 36d(1)

202-51.4.2. Chain of custody records consisting of forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Disposition: Destroy when 3 years old. GRS 1, Item 36d(2)

202-51.5. Test results consisting of records documenting individual test results, including reports of testing, notifications of employees and/or applicants and employing offices, and documents relating to follow-up testing.

Disposition: Destroy when 3 years old. GRS 1, Item 36e

202-52. DoD Combined Federal Campaign. The Voluntary Campaign Management Office oversees the planning, development, implementation, and overall management and administration of the annual DoD Combined Federal Campaign (CFC) for the National Capital Area, and Overseas, in the DoD U.S. savings Bonds Program, OSD Blood Donor Program, and emergency of disaster relief fund-raising as directed by the Office of Personnel Management (5 CFR, Part 950, Section 950.604). (N1-330-00-1)

202-52.1. Combined Federal Campaign Files. Document on CFC special events, weekly statistical reports, historical information on previous campaigns, DoD CFC account numbers, DoD directives, DoD Loaned Executives, CFC national Committee Meetings, CFC Chair/Vice Chair/Campaign Managers, Retiree Access, Campaign Manager Meetings, Personnel Hilites articles, and general correspondence for domestic, and overseas campaigns.

Disposition: Destroy/delete when 3 years old.

202-52.2. Savings Bonds Campaign Files. Documents on Savings Bonds special events, end –of-campaign statistical reports, semiannual bond reports/ mailing list, DoD component campaign plans; DoD Directives, Savings Bonds legislation, Savings Bonds Chair/Vice Chair/Campaign Managers, Personnel Hilites articles, general correspondence and Campaign Manager Guides.

Disposition: Destroy/delete when 3 years old.

202-52.3. Blood Donor Program Files. Documents on Blood Council Meetings, OSD Blood Recruiters, DoD directives, and general correspondence files.

Disposition: Destroy/delete when 3 years old.

202-52.4. Electronic versions of records created by the electronic mail and word processing applications.

Disposition: Delete when file copy is generated or when no longer needed for reference or updating.

202-53. Alternative Dispute Resolution (ADR) Files. Alternative Dispute Resolution is any procedure, conducted by a neutral third party that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombudsman. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees.

NOTE: This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in GRS 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.

202-53.1. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program.

Disposition: Destroy/delete when 3 years old. Longer retention is authorized if records are needed for agency business. GRS 1, Item 27

202-53.2. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence.

Disposition: Destroy/ delete 3 years after settlement is implemented or case is discontinued. GRS 1, Item 27

203. RECORDS MANAGEMENT FILES

These files result from the planning, promulgation, and execution of concepts and procedures for managing the creation, transmission, maintenance, use, and disposition of OSD records.

203-01. Records Management Survey Files. Documents on staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of records management operations and programs. Notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents are included.

Disposition: Office performing OSD-wide staff responsibility: Destroy after 15 years. Other offices: Destroy 2 years after next comparable survey or on discontinuance of the surveyed office, whichever is first.

203-02. Records Management Survey Background Files. Documents used in preparing for records management surveys. Included are organizational charts, statements of functions, copies of records management directives, lists of personnel responsible for records management, volume of records data, copies of training materials, copies of authorized deviations, schedules of surveys, notes drafts, and similar or related documents.

Disposition: Destroy in the CFA after 5 years. Earlier destruction is authorized.

203-03. Access to Information Files. Documents on the formulation of DoD procedures, conditions, and restrictions on the release of information from files, release of copies, and the granting of access to records for official or unofficial research. Included are case files with requests, basic interpretations, decisions precedents, studies, and related or similar papers.

203-03.1. Procedures, restrictions and conditions. Offices responsible for formulating OSD concept.

Disposition: Permanent. Cut off after 5 years and retire to the WNRC.

203-03.2. Case files.

Disposition: Cut off after 5 years. Retire to the WNRC; destroy when 15 years old.

203-04. Records Disposal Authorization Files. Documents authorized by Congress or the Archivist of the United States to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, and

approvals or disapprovals.

Disposition: Destroy when 25 years old.

203-05. Records Locator and Distribution Files. Information maintained by records management program offices reflecting the transfer or retirement of documentary materials. Included are: Records shipment lists and records transfer lists (SF 135); copies of deed/instrument of gift; approvals/disapprovals of agency officials; correspondence between the donor, research institution, and agency officials; and other related information.

Disposition: Destroy after all records listed thereon have been destroyed, except those reflecting permanent files may be destroyed when no longer needed for reference. OSD Records Administrator: Keep hardcopy version of OSD offices' submissions until converted to electronic medium, then destroy. Purge database when no longer needed for reference.

203-06. Records Management System Files. Documents on the appraisal of records systems and procedures such as those relating to miniaturization, office copying, and word processing. Included are evaluation studies and similar or related documents.

Disposition: Destroy after 1 year.

203-07. Records Holding Reporting Files. RESCINDED.

203-08. Records Disposition Standard Exemption Files. Documents reflecting exceptions to records disposition standards authorized by responsible records management officials. Included are requests, approvals, and related documents.

Disposition: Destroy on expiration of exception.

203-09. National Archives Liaison. Documents, correspondence, and the like pertaining to exchange between National Archives and the OSD on the subject of records management.

Disposition: a. Any authority to destroy or exemptions granted by NARA shall be retained for 6 years. Retire to the WNRC at that time. Destroy when 25 years old. b. Other general correspondence may be destroyed after 2 years.

203-10. Privacy Act Files. (Privacy Act requests are filed by Freedom of Information and Security Review, WHS. (see 704.)

203-10.1. Privacy Act Accounting of Disclosure Files. Files maintained under the provision of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another Agency, including forms for showing the subject individual's name, requester's name and address, purpose

and date of disclosure, and proof of subject individual's consent when applicable.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure that the accountability was made, whichever is later. GRS 14, Item 23

203-10.2. Privacy Act Amendment Case Files. Files on an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an Agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing Agency as provided under 5 U.S.C. 552a(g).

203-10.2.1. Requests to amend a record agreed to by Agency. Includes individual's request to amend and/or review refusal to amend, copies of Agency's replies thereto, and related materials.

Disposition: Dispose of in accordance with the approved disposition instruction for the related subject individual's record or 4 years after Agency's agreement to amend, whichever is later. GRS 14, Item 22a

203-10.2.2. Requests to amend refused by Agency. Includes individual's requests to amend, copies of Agency's replies thereto, statement of disagreement, Agency justification for refusal to amend a record, and related materials.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records; 4 years after final determination by Agency or 3 years after final adjudication by courts, whichever is later. GRS 14, Item 22b

203-10.2.3. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any Agency to amend a record.

Disposition: Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later. GRS 14, Item 22c

203-10.3. Privacy Act Reports Files. Recurring reports and one-time information requirements relating to Agency implementation, including annual reports to the Congress of the United States, OMB, and the Report on New Systems. Annual reports at Departmental or Agency level.

Disposition: Destroy when 2 years old. GRS 14, Item 25

203-10.4. Privacy Act General Administrative Files. Records on the general Agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Disposition: Destroy when 2 years old. GRS 14, Item 26

203-11. Declassification Management Files. Documents, directives, and correspondence on the subject. Requests for declassification from in and out of the Department of Defense. Responses, appeal referrals and general policy files.

Disposition: Retain case files for 3 years after last entry. Retire to the WNRC. Destroy when 10 years old.

203-12. Data Index Systems Files. Policy direction on the methods to be employed in developing an automatic or manual system to recognize and downgrade classified documents of a permanent nature. The identification of data elements in the system and the anticipated output. The present OSD system is manual.

Disposition: Informational documents: destroy when no longer needed for current business.

203-13. RESERVED

203-14. Vital Records Program Files. Correspondance, inventories, directives, policy.

Disposition: Permanent. Policy and procedural directives. Retire to the WNRC when superseded or obsolete. Transfer to National Archives when 20 years old. Destroy old inventories when superseded.

203-15. Source Data Systems Files. Instructive materials, system studies, directives.

Disposition: Destroy/delete when no longer current.

203-16. Mail Management Files. Systems studies, statistics, proposals, directives, instructional materials.

Disposition: Destroy/delete when no longer current.

203-17. Records Management Files. Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.

Disposition: Destroy/delete when 6 years old. GRS 16, Item 7

203-18. Health Insurance Portability and Accountability Act (HIPAA). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law 104-191, was enacted on August 21, 1996. Records documenting authorizations, disclosures, access, complaints, amendments to, and control of protected health information, included are:

- Authorizations from individuals for uses and disclosures of their protected health information;
- Original requests for protected health information, copies of contractor responses, and all related supporting documentation;
- Information that provides an accurate accounting of the date, nature, and purpose of each protected health information (PHI) disclosure, including documents that show the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent, when applicable;
- Letters of complaint, contractor's response, and other supporting documentation;
- Requests for amendment, contractor's agreement to amend or agreement not to amend records, and all supporting documentation; and
- Logs which track HIPAA requests.

Disposition: PENDING APPROVAL. Retain until disposition instructions have been approved by NARA.

204. FLOOR SPACE MANAGEMENT AND SERVICE FILES

Acquisition, allocation, and utilization of space and office services including related correspondence.

204-01. Space Management. Records relating to the allocation, utilization, and release of space under Departmental control and related reports to the GSA.

Disposition: a. Dispose of building plan file and related Departmental records on space utilization, planning assignment, or adjustment 2 years after termination of assignment, when lease is canceled, or when plans are superseded or become obsolete. GRS 11, Item 2a. b. Dispose of records supporting, and copies of, reports submitted to GSA on space occupied, both inside and outside the National Region, 2 years after annual file cut off. GRS 11, Item 2 b(1). c. Destroy space plan file and related record material used in space planning, and assignment and adjustment of space allocated to the OSD 2 years after file cut off. GRS 11, Item 2b(1). d. Destroy record copies supporting reports submitted to the Department of Defense space control activity regarding space occupied by the OSD 1 year after file cut off. GRS 11, Item 2b(2). e. Dispose of correspondence files on space and maintenance matters of an administrative or operating nature when 2 years old. GRS 11, Item 1.

204-02. Duty Hours Coordination Files. Documents on duty hours of principal DoD Components in the Pentagon; guard and custodial services, and related

correspondence.

Disposition: Destroy when 5 years old.

204-03. Administrative Policy Files. Documents on the development, preparation, issuance, and interpretation of directives or regulatory instructions and facilities and space.

Disposition: When superseded or obsolete, place in inactive file. Destroy after 10 years.

204-04. Space and Facilities Files. Copies of documents on space assignments, agreements, building plans, alterations requests, maintenance, and related records.

Disposition: Destroy 5 years after termination of assignment.

204-05. OSD Liaison Files. Documents on liaison with the GSA and other Federal Agencies on the subject of space management.

Disposition: Destroy after 5 years.

204-06. Concession Operations Files. Documents on correspondence with various concessions operations. Leases and other agreements on use and operations.

Disposition: Cut off when new agreement reached or concessionaire relocates. Retain 2 years, then retire to the WNRC for an additional 5 years.

204-07. Credential Files.

204-07.1. Property pass files, authorizing removal of property or materials.

Disposition: Destroy 3 months after expiration or revocation. GRS 18, Item 12

204-07.2. Identification credentials and related papers. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

Disposition: Destroy credentials 3 months after return to issuing office. GRS 11, Item 4(a)

204-08. Building and Equipment Services. Requests for building and equipment maintenance services, excluding fiscal copies.

Disposition: Destroy 3 months after work performed or requisitions canceled. GRS 11, Item 5

204-09. Parking Financial Files

204-09.1. Accounts maintained for site audit records consisting of statements of transactions, collection schedules, etc.

Disposition: Retain on site 3 years. Retire to the WNRC for an additional 3 years and 3 months.

204-09.2. General Accounting Ledger.

Disposition: Destroy 10 years after the close of the fiscal year.

204-10. Safety and Occupational Health Office Files (NI-330-93-7). These files accumulate in the Safety and Occupational Health Office of the Directorate for Real Estate and Facilities (RE&F), WHS, who responsible for providing safety and health, industrial hygiene, and environmental protection regulation compliance support to all RE&F-owned and -leased facilities in the National Capital Region. The disposition of these files is governed by 29 CFR Parts 904 and 1910.

204-10.1. Summary of Injuries and Illnesses (OSHA Form 200). (Covered under existing authority.)

204-10.2. Material Safety Data Sheets (OSHA Form 174 or authorized variants). These forms contain descriptions, chemical analyses, and other data (toxicological and health reports, disposal instructions, emergency first aid instructions, handling precautions, etc.) on substances and agents that are potential health and safety hazards in the workplace.

Disposition: Cut off at the end of the calendar year and retire to the WNRC; destroy 75 years after cut off (29 CFR 1910.20(d)(d), II (B)).

204-10.3. Environmental Files.

204-10.3.1. Asbestos. These files consist of inspection reports, assessments (microscopic analysis and lab reports) pertaining to asbestos abatement in RE&F-owned or -controlled facilities. Also included is general information on the asbestos abatement program, lists of asbestos managers by facility, and general correspondence.

204-10.3.2. Industrial Hygiene. These files contain but are not limited to such documents as indoor air quality surveys, industrial hygiene evaluations, special fire protection surveys, fire safety inspection reports, microwave oven leak surveys, underground storage tank tests, radon test results, pest control reports and other tests, surveys, inspections, and reports pertaining to environmental health and safety programs throughout RE&F-owned and -controlled facilities.

Disposition: Cut off when 5 years old and retire to WNRC. Destroy 75 years after cut off. (29 CFR 1910.20(2)ii(b)).

204-10.4. Pentagon Building Daily Reports File. This file consists of cover sheets and handwritten "Watchdog" Reports prepared by industrial hygienists documenting results of general building condition air-quality surveys conducted throughout the Pentagon Building on a daily basis.

Disposition: Cut off annually. Hold in the CFA for 2 years after cut off and retire to WNRC. Destroy 75 years after cut off (29 CFR 1910.20(d)ii)).

205. HISTORICAL FILES

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

205-01. Historical Records and Reports File. Documents prepared by historians under the OSD historical program.

Disposition: Permanent. Retire to the WNRC 2 years after cut off.

205-02. Historical Research and Reference Files. Documents collected and maintained by historians in the preparation of histories, occasional studies, and reports.

Disposition: Destroy when superseded or obsolete.

206. BUDGET AND FINANCE

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

Paragraphs 206-01. through 206-07. of this schedule apply to records of budget preparation, presentation, and apportionment. OSD budget records normally are created at all levels of organization. They show proposals from all operating levels as well as the OSD-wide coordinating work done by the budget office. Therefore, the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated

submissions prepared at the OSD level.

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

206-01. Budget Policy Files. Correspondence or subject files documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for OSD programs.

Disposition: Permanent. Cut off when superseded or obsolete and retire to the WNRC, as appropriate for documents maintained in accordance with series 103-01.

206-02. Budget Background Records. Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in 206-04.

Disposition: Destroy 1 year after the close of the fiscal year covered by the budget.

206-03. Budget Correspondence Files. Correspondence files in formally organized budget offices on routine administration, internal procedures, and other matters not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old.

206-04. Budget Estimates and Justification Files.

206-04.1. Copies of budget estimates and justifications prepared or consolidated for the OSD and offices under the WHS for administrative support. Included are appropriation language sheets, narrative statements, and related schedules and data.

Disposition: Permanent. Retire to the WNRC when 4 years old. Transfer to the National Archives when 20 years old.

206-04.2. Working papers and background materials.

Disposition: 206-02. of this schedule.

206-05. Budget Reports Files. Periodic reports on the status of appropriation accounts and apportionment.

206-05.1. Annual report (end of fiscal year).

Disposition: Destroy 5 years after account merges. GRS 5, Item 3a

206-05.2. All other reports.

Disposition: Destroy 3 years after the close of the fiscal year. GRS 5, Item 3b

206-06. Financial Reports. Financial reports, recurring and one-time, on financial management.

Disposition: Permanent. Retire to WNRC when 2 years old; transfer to NARA when 20 years old.

206-07. Budget Apportionment Files. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Disposition: Destroy 2 years after the close of the fiscal year.

206-08. Travel and Transportation Records. This schedule covers records on the movement of goods and persons under Government orders. The recordkeeping involved in the movements centers around bills of lading, transportation requests, vouchers, and associated records. Copies of records used to support payments become part of the accountable officer's accounts, or are accounting posting media.

206-08.1. Movement of Goods. The key record is the bill of lading which includes copies for cosigners, consignees, and the carriers themselves. The papers related to, and normally filed with, the bill of lading varies and is often voluminous. These may consist of shortage and demurrage reports, invoices, and other descriptive data that document hold effects, authorized by law and regulations for civilian employees of the Government. When shipping certain vouchers under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, papers relating to claims that may ensue, and other pertinent documents.

206-08.2. Movement of Persons. The movement of persons is documented essentially by copies of travel orders and standard form vouchers showing payment for official travel. The primary copies of the travel orders are the administrative copy maintained by the transportation unit controlling the issuance of travel orders, and copies used for encumbrance of funds.

206-08.2.1. Freight Files. Records on freight consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records on the shipment of household goods.

206-08.2.1.1. Issuing office memorandum copies, other than those identified in 206-08.2.1.4., below.

Disposition: Destroy 6 years after the period of the account. GRS 9, Item 1

206-08.2.1.2. All other copies.

Disposition: Destroy when 2 years old. GRS 9, Item 4

206-08.2.1.3. Registers and control records.

Disposition: Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable. GRS 23, Item 8

206-08.2.1.4. Records on international shipments of household goods moved by freight forwarders.

Disposition: Destroy 6 years after the period of the account.

206-08.2.2. Lost or Damaged Shipment Files. Schedules of valuables shipped, correspondence, memoranda, reports, and other records on the administration of the Government Losses in Shipment Act.

Disposition: Destroy when 6 years old. GRS 9, Item 2

206-08.2.3. Passenger Transportation Files. Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers.

206-08.2.3.1. Issuing office memorandum copy.

Disposition: Destroy when 6 years old. GRS 9, Item 1c

206-08.2.3.2. Obligation copy.

Disposition: Destroy when funds are obligated. GRS 9, Item 1d

206-08.2.3.3. Unused ticket redemption forms, such as SF 1170.

Disposition: Destroy when no longer needed for administrative use. GRS 9, Item 1e

206-08.2.4. Passenger Reimbursement Files. Records on reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.

206-08.2.4.1. Travel administrative office files.

Disposition: Destroy when 6 years old. GRS 9, Item 3a

206-08.2.4.2. Obligation copies.

Disposition: Destroy when funds are obligated. GRS 9, Item 3b

206-08.2.5. General Travel and Transportation.

206-08.2.5.1. Correspondence, forms, and related records on to Agency travel and transportation functions, not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old. GRS 9, Item 4a

206-08.2.5.2. Accountability records.

Disposition: Destroy 1 year after all entries are cleared. GRS 9, Item 4b

206-09. Accountable Officer's Files.

206-09.1. Original or carbon copy of accounts maintained for site audit by GAO consisting of statements of transaction, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers.

Disposition: Destroy 6 years, 3 months after period covered by account. GRS 6, Item 1a

206-09.2. Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere.

Disposition: Destroy when 1 year old. GRS 6, Item 1b

206-10. GAO Exception Files. GAO notices of exceptions, such as SF 1100, never formal, informal, or related correspondence.

Disposition: Destroy 1 year after exception has been cleared by the GAO. GRS 6, Item 2

206-11. Certificates Settlement Files. Copies of certificates of settlement of accountable officers, statement of differences, and related records.

206-11.1. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.

Disposition: Destroy 2 years after settlement. GRS 6, Item 3a

206-11.2. Certificates covering periodic settlements.

Disposition: Destroy when subsequent certificate of settlement is received. GRS 6, Item 3b

206-12. General Fund Files. Records on availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit (SFs 201, 209, and 219), other than those records covered by 206-09 of this schedule.

Disposition: Destroy when 3 years old. GRS 6, Item 4

206-13. Accounting Administrative Files. Correspondence, reports and data on voucher preparation, administrative audit, and other accounting and disbursing operations.

206-13.1. Files used for workload and personnel management purposes.

Disposition: Destroy when 2 years old. GRS 6, Item 5a

206-13.2. All other files.

Disposition: Destroy when 3 years old. GRS 6, Item 5b

206-14. Federal Personnel Surety Bond Files.

206-14.1. Official copies of the bond and attached powers of attorney.

206-14.1.1. Bonds purchased prior to January 1, 1956.

Disposition: Destroy 15 years after bond becomes inactive. GRS 6, Item 6a(1)

206-14.1.2. Bonds purchased after December 31, 1955.

Disposition: Destroy 15 years after end of bond premium period. GRS 6, Item 6a(2)

206-14.1.3. Other bond files including other copies of bonds and related documents.

Disposition: Destroy when bond becomes inactive or after the end of the bond premium period. GRS 6, Item 6b

206-15. Telephone Toll Tickets. Originals and copies of toll tickets filed in support of telephone toll call payments.

Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner. GRS 6, Item 8

206-16. Expenditure Accounting General Correspondence and Subject Files. Correspondence or subject files maintained by operating units responsible for expenditures accounting pertaining to their internal operations and administration.

Disposition: Destroy when 2 years old. GRS 7, Item 1

206-17. General Accounting Ledgers. General accounts ledgers, that shows debit and credit entries, and reflects expenditures in summary.

Disposition: Destroy 6 years and 3 months after the close of the fiscal year involved. GRS 7, Item 2

206-18. Appropriation Allotment Files. Allotment records showing status of obligations and allotments under each authorized appropriation.

Disposition: Destroy 6 years and 3 months after the close of the fiscal year involved. GRS7, Item 3

206-19. Expenditure Accounting Posting and Control Files. Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.

206-19.1. Original records.

Disposition: Destroy when 3 years old.

206-19.2. Copies.

Disposition: Destroy when 2 years old.

207. PAY FILES (NC1-330-77-4)

207-01. Individual Earning and Service Cards (such as SF 1127 or its equivalent).

Disposition: Transfer to National Personnel Records Center (NPRC), St. Louis, MO 63118. If in personnel folder or in individual pay folder filed adjacent to personnel folder, dispose of with the personnel folder. B. If not in or filed adjacent to personnel folder, dispose of 56 years after date of last entry on card. GRS 2, Item 1b

207-02. Correspondence Files. Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

Disposition: Destroy after 2 years. GRS 2, Item 24

207-03. Time and Attendance

207-03.1. Source Records. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (OF 1130); flextime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be either machine-readable or paper form.

Disposition: Destroy after GAO audit or after 6 years, whichever is sooner. GRS 2, Item 7

207-03.2. Input Records. Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.

Disposition: Destroy after GAO audit or when 6 years old, whichever is sooner. GRS 2, Item 8

207-04. Individual Authorization Card and Payroll Allotments (such as SF 1192)

207-04.1. Where record of bond deductions is maintained on earning record card.

Disposition: Destroy when superseded or after separation of employee. If employee transfers within an Agency, these authorizations must also be transferred. Treasury Fiscal Requirement Manual, paragraph 6020.20e for instructions relating to savings bond authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions on the Combined Federal Campaign authorizations.

207-04.2. Where record of bond deductions is not maintained elsewhere.

Disposition: Destroy 3 years after superseded or 3 years after separation of employee. 207-04.1., above, for transfer instructions.

207-05. Issuing Agents Bond Registration Files. Issuing agents' copies of bond registration stubs. GRS 2, Item 14b

Disposition: Destroy after 2 years.

207-06. Bond Receipt and Transmittal Files. Receipts For and Transmittals of U.S. Savings Bonds. GRS 2, Item 14c

Disposition: Destroy 4 months after date of issuance of bond.

207-07 U.S. Savings Bonds. Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent. GRS 2, Item 14a

Disposition: Destroy when superseded or after separation of employee.

207-08. Leave Application Files. Record of employee leave, such as SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.

207-08.1. If employee initials time card or equivalent.

Disposition: Destroy at the end of the following pay period. GRS 2, Item 6a

207-08.2. If employee has not initialed time card or equivalent.

Disposition: Destroy after the GAO audit or when 3 years old, whichever is sooner. GRS 2, Item 6b

207-09. Leave Record Cards.

207-09.1. Record of employee leave, such as SF 1150, prepared upon transfer or separation.

Disposition: Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service. GRS 2, Item 9a

207-09.2 Creating agency copy, when maintained.

Disposition: Destroy when 3 years old. GRS 2, Item 9b

207-10. Donated Leave Program Case Files.

Disposition: Destroy 1 year after the end of the year that the file is closed.

207-11. Personnel Actions. Notifications of personnel action, exclusive of those in OPF.

207-11.1. Pay or fiscal copy.

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier.

207-11.2. Chronological file copies, including fact sheets.

Disposition: Destroy after 2 years.

207-11.3. All other copies.

Disposition: Destroy after 1 year.

207-12. Budget Authorizations File Copies. Copies of budget authorizations to operating units that control personnel ceilings and personnel actions.

Disposition: Destroy when superseded.

207-13. Memorandum copies of payrolls, check lists, and related certification sheets (such as SFs 1013, 1128, or equivalents).

207-13.1. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers.

Disposition: Destroy when the FRC receives second subsequent payroll or check list covering same payroll unit.

207-13.2. All other copies.

207-13.2.1. Where earning record is maintained.

Disposition: Destroy after audit by GAO or after 3 years, whichever is earlier.

207-13.2.2. Where earning record card is not maintained.

Disposition: Transfer to National Personnel Records Center, St. Louis, MO, when 3 years old.

207-14. Payroll control registers.

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier.

207-15. Payroll Change Slips. Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

207-15.1. Copies subject to GAO audit. GRS 2, Item 23a

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier.

207-15.2. All other copies.

Disposition: Destroy 1 month after end of related pay period. GRS 2, Item 23b

207-16. Memorandum copies of fiscal schedules involved in payroll processing.

207-16.1. Copy used in GAO audit.

Disposition: Destroy after audit by GAO or after 3 years, whichever is earlier.

207-16.2. All other copies.

Disposition: Dispose of 1 month after end of pay period.

207-17. Administrative and Payroll System Reports. Data relating to payroll operations and pay administration.

207-17.1. Reports and data used for workload and personnel management purposes.

Disposition: Destroy after 2 years. GRS 2, Item 22b

207-17.2. Error reports, ticklers, system operation reports.

Disposition: Destroy when related actions are completed or when no longer needed, not to exceed 2 years. GRS 2, Item 22a

207-17.3. All other reports and data.

Disposition: Destroy after 3 years. GRS 2, Item 22c

207-18. Tax Files. Employee withholding allowance such as Internal Revenue Service (IRS) Form W-4 and state equivalents.

Disposition: Destroy 4 years after card is superseded or obsolete or upon separation of employee. GRS 2, Item 13a

207-19. Returns on income taxes. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.

Disposition: Destroy when 4 years old. GRS 2, Item 13b

207-20. Reports of withheld Federal taxes. Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor.

Disposition: Destroy when 4 years old. GRS 2, Item 13c

207-21. Retirement Reports and Registers. Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent

Disposition: For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary. GRS 2, Item 28

207-22. Reports of insurance deductions and related papers including copies of vouchers and schedules of payment.

Disposition: Destroy after 3 years.

207-23. Levy and garnishment records (including official notice of levy or garnishment, change slips, working papers and correspondence relating to charges against retirement funds or attachment of salary for payment of back income taxes or for other debts of Federal employees)

Disposition: Destroy after 3 years. GRS 2, Item 18

207-24. Department of Defense Education Activity (DoDEA) Erroneous Overpayments Files (N1-330-90-2). Documents on erroneous overpayments of earnings and benefits to DoDEA overseas civilian employees. These include excess payments of salaries, health benefits, annual sick leave reimbursements, foreign-post differentials, living allowances, and cost of living adjustments. Paperwork contained in individual files that consists of notifications of overpayment to the individual stating the amount of indebtedness to the Government; copies of personnel action notices; vouchers; payment listings; and audit worksheets. Also included are letters from individuals that request a waiver from the indebtedness; DoDEA investigation reports and preliminary decisions; correspondence forwarding claims to the Director, Administration and Management, OSD; and copies of the final decisions rendered by the Comptroller General of the United States.

Disposition: Destroy 5 years after case is closed.

207-25. Combined Federal Campaign and Other Allotment Authorizations

207-25.1. Authorization for individual allotment to the Combined Federal Campaign.

Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2, Item 15a)

207-25.2. Other authorizations, such as union dues and saving. GRS 2, Item 15b

Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner.

207-26. Thrift Savings Plan Election Form. Authorizing deduction of employee contribution to the Thrift Savings Plan. GRS 2, Item 16

Disposition: Destroy when superseded or after separation of employee.

207-27. Direct Deposit Sign Up Form (SF 1199A)

Disposition: Destroy when superseded or after separation. GRS 2, Item 17

208. SUPPLY AND SERVICES

208-01. Procurement files ((as described in 208-04.) involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents on general Agency procurements or to major procurement programs (other than those covered by 208-13.))

Disposition: Permanent. Retire to the WNRC when 5 years old.

208-02. Title papers (documenting the acquisitions of real property – by purchase, condemnation, donation, exchange, or otherwise).

208-02.1. All records for property acquired other than abstract or certificate of title.

Disposition: Title papers, dated 1921 and after. Destroy 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. GRS 3, Item 1a

208-02.2. Papers for property acquired before January 1, 1921.

Disposition: Title papers preceding 1921. Permanent. Transfer to the National Archives 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

208-02.3. Abstract or certificate of title.

Disposition: Transfer to purchaser after unconditional sale or release by the Government. GRS 3, Item 1b

208-03. Correspondence files (of procurement operating units on their internal operation and administration that are not covered elsewhere in this schedule)

Disposition: Destroy when 2 years. GRS 3, Item 2

208-04. Contract, requisition, purchase order, lease, and bond and surety records (including correspondence and related papers on award, administration, receipt, inspection, and payment (other than those covered in 208-01, 208-02, and 208-13))

208-04.1. Procurement or purchase organization copy, and related papers.

208-04.1.1. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.

Disposition: Destroy 6 years and 3 months after final payment. (Place in inactive file on final payment; retire fiscal year block to FRC after 2 years). GRS 3, Item 3a(1)

208-04.1.2. Transactions of \$25,000 or less and construction contracts under \$2,000.

Disposition: Destroy 3 years and 6 months after final payment. (Close file at the end of each fiscal year, retain 3 years and dispose of, except those files on which actions are pending shall be brought forward to the next fiscal year's files for disposal therewith). GRS 3, Item 3a(2).

208-04.2. Obligation copy.

Disposition: Destroy when funds are obligated. GRS 3, Item 3b

208-04.3. Copies of contracts, requisitions, purchase orders, leases, and other papers that are duplicates of papers defined in 208-04.1, used by Component elements of a procurement office for administrative purposes.

Disposition: Destroy upon termination or completion. GRS 3, Item 3c

208-05. Files of reports on supply requirements and procurement matters submitted for supply management purposes. Case files (or other files of a general nature), exclusive of DoD reports reflecting procurement under exemptions authorized by Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481). GRS 3

208-05.1. Copies received from other units for internal purposes or for transmission to staff Agencies.

Disposition: Destroy after 2 years. GRS 3, Item 4a

208-05.2. Copies in other reporting units, and related work papers.

Disposition: Destroy after 1 year. GRS 3, Item 4b

208-06. Bid Files.

208-06.1. Successful bids.

Disposition: Destroy in accordance with 208-04. GRS 3, Item 5a

208-06.2. Unsuccessful bids.

Disposition: Destroy in accordance with 208-04. GRS 3, Item 5b

208-06.3. Lists or cards of acceptable bidders.

Disposition: Destroy when new list or card is made. GRS 3, Item 5d

208-07. Records on requisitioning on the Public Printer, and all supporting papers

208-07.1. Printing procurement unit copy of requisitions, invoices, specifications, and related papers.

Disposition: Destroy 3 years after completion or cancellation of requisition. GRS 3, Item 6a

208-07.2. Accounting copy of requisitions.

Disposition: Destroy 3 years after period covered by related account. GRS 3, Item 6b

208-08. Requisitions for non-personal services (such as duplicating, binding, and other services (excluding records associated with accountable officer's accounts))

Disposition: Destroy after 1 year. GRS 3, Item 7

208-09. Requisitions for supplies and equipment from current inventory

208-09.1. Stockroom copy.

Disposition: Destroy 2 years after completion or cancellation of requisition. GRS 3, Item 8a

208-09.2. All other copies.

Disposition: Destroy after 6 months. GRS 3, Item 8b

208-10. Inventory Files

208-10.1. Inventory lists

Disposition: Destroy 2 years from date of list. GRS 3, Item 9a

208-10.2. Inventory cards.

Disposition: Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification of inventory records, or 2 years after equipment is removed from Agency control. GRS 3, Item 9b

208-10.3. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.

Disposition: Destroy 2 years after period covered by related account. GRS 3, Item 9c

208-11. Telephone statements and toll slips

Disposition: Destroy 3 years after period covered by related account. GRS 3, Item 10

208-12. Contractors' payrolls ((construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers)

Disposition: Destroy 3 years after period covered by related account unless contract performance is subject of enforcement action on such date. GRS 3, Item 11

208-13. Tax exemption certificates and related papers.

Disposition: Destroy 3 years after period covered by related account. GRS 3, Item 12

208-14. Sales and Disposal of Surplus Property

208-14.1. Case files on sales of surplus personal property and real property comprising invitations, bids, acceptances, lists of material, evidence of sales and related papers involving transactions and other papers that document the initiation and development of transactions that deviate from established precedents to major disposal programs.

Disposition: a. Permanent. Cut off when case is closed. Retire to the WNRC when 3 years old; transfer to the National Archives when 30 years old. b. Destroy duplicate and

non-record material when file is cut off. c. Case files not covered by a., of this paragraph, apply disposition schedule 208-14.3.

208-14.2. Case files on disposal of surplus real and related personal property (as described in 208-14.1.).

Disposition: a. Retire record copies including related material 3 years after file cut off for permanent preservation. b. Destroy duplicate and non-record material when file is cut off.

208-14.3. Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in 208-14.1. and 208-14.2.).

208-14.3.1. Transactions of more than \$25,000.

Disposition: Destroy 6 years after final payment. (Place in inactive file on final payment and retire to the WNRC 2 years thereafter). GRS 4, Item 3(a)

208-14.3.2. Transactions of less than \$25,000.

Disposition: Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and dispose of, except files with pending actions shall be brought to the next fiscal year's files disposal therewith). GSR 4, Item 3(b)

208-15. Inventories of Supplies and Equipment

208-15.1. Stockroom copy of inventory lists.

Disposition: Destroy 2 years from date of list. GRS 3, Item 9(a)

208-15.2. Stockroom inventory cards.

Disposition: Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from Agency control. GRS 3, Item 9(b)

208-15.3. Card file of office equipment.

Disposition: Destroy individual item cards 2 years after equipment is transferred from the OSD.

208-16. Building and Equipment Service Files. Requests for building and equipment maintenance services, excluding fiscal copies.

Disposition: Destroy 3 months after work is performed or requisition canceled. GRS 11, Item 5

208-17. Cost Accounting. These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

208-17.1. Cost Accounting Reports. Copies in units receiving reports, reporting units and related work papers.

Disposition: Destroy when 3 years old. GRS 8, Item 6

208-17.2. Cost Report Files. Ledgers, forms, and electronic records used to accumulate data for use in cost reports.

Disposition: Destroy when 3 years old. GRS 8, Item 7a

208-17.3 Cost Report Data Files. Automated records and summary cards used to accumulate data for use in cost reports.

Disposition: Destroy when 6 months old. GRS 8, Items 7b (1) and (2)

208-17.4 Cost Report Tabulations. Tabulations used in cost reports.

Disposition: Destroy when 1 year old. GRS 8, Item 7b (3)

209. CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken by Agencies to protect classified information from unauthorized disclosure in accordance with the E.O. 12958, other Executive orders or statutory or regulatory requirements, and DoD 5200.1-R.

209-01. Correspondence files (on the administration of security classifications, control, and accounting for classified documents not covered elsewhere in this schedule)

Disposition: Destroy when 2 years old. GRS 18, Item 1

209-02. Classified document receipts (on the receipt and issue of classified documents)

Disposition: Destroy when 2 years old. GRS 18, Item 2

209-03. Classified document destruction certificates (on the destruction of classified documents)

Disposition: Destroy when 2 years old. GRS 18, Item 3

209-04. Classified document inventory files (consists of forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents on Top Secret material covered elsewhere in this schedule)

Disposition: Destroy when 2 years old. GRS 18, Item 4

209-05. Top Secret Document Accounting and Control Files

209-05.1. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

Disposition: Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. GRS 18, Item 5a

209-05.2. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Disposition: Destroy when related documents are downgraded, transferred, or destroyed. GRS 18, Item 5b

209-06. Access request files (that consist of requests and authorizations for individuals to have access to classified files)

Disposition: Destroy 2 years after authorization expires. GRS 18, Item 6

209-07. Classified document container security files (consists of forms or lists used to record safe and padlock combinations, and comparable data used to control access into classified document containers)

Disposition: Destroy when superseded by a new form or list, or upon turn-in of containers. GRS 18, Item 7

209-08. Security Violations Files. These are case files relating to violations of Executive Orders, laws, or Agency regulations for the safeguarding of national security information, exclusive of documents placed in official personnel folders. Not to be confused with Defense Investigative Program Records (210-01.1.1. - 210-01.1.3).

Disposition: a. Files relating to alleged violations of a sufficiently serious nature that

they are referred to the Department of Justice (DOJ) or Defense for prosecutive determination, exclusive of files held by DOJ or Defense offices responsible for making such determinations: Destroy 5 years after close of case. b. All other files, exclusive of documents placed in official personnel folders: Destroy 2 years after completion of final action. GRS 18, Item 24

210. DEFENSE INVESTIGATIVE PROGRAM RECORDS (NC1-330-76-1)

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

210-01. Defense Investigative Case Files. Includes personnel security data on members of the Armed Forces, DoD civilian employees, and contractor employees under the Defense Industrial Security Program; data on activities threatening the security or involving the disruption or subversion of DoD military and civilian personnel, functions, activities, installations, information, communications, equipment and supplies; data on investigative activities within the United States, the District of Columbia, the Commonwealth of Puerto Rico, and United States Territories and possessions.

210-01.1. Files Relating to DoD Civilians and/or Military Members. Disposable. Retention periods for investigative records shall be as follows:

210-01.1.1. Routine Investigations. Personnel security investigations of a favorable nature and other investigations of a minor nature.

Disposition: Destroy 15 years after completion date of the last investigative action for that file. Personnel security files on persons who are considered for affiliation with the Department of Defense shall be destroyed after 1 year if the affiliation is not completed.

210-01.1.2. Significant Incidents of Adverse Actions. Personnel security investigations resulting in an adverse personnel action or court-martial, or other investigation required for long-term administrative or legal use.

Disposition: Destroy 25 years after the date of the last action. Those files determined to be of possible historical value and those of widespread public or congressional interest may be retired to the National Archives after 15 years.

210-01.1.3. Major Investigations. Investigations of espionage and sabotage, or other major investigations of a counterintelligence and a security nature.

Disposition: Permanent. Transfer to the National Archives within 25 years after the date of the last action.

210-01.2. Files On non-DoD Affiliated U.S. Citizen and Organizations.

210-01.2.1. Activities or events posing one of the following types of continuing threats to DoD military and civilian personnel and Defense activities and installations: Demonstrated hostility. Activities of an actual example of violent or criminal hostility has been carried out within the previous year; Threatened hostility. Activities that have explicitly threatened DoD installations providing a significant potential source of harm or disruption of the installation of its function during the previous year; Dissidence activities. Activities that have involved actively encouraging violation of the law, disobedience of lawful order or regulation, or disruption of military activities during the previous year.

210-01.2.1.1. Information that falls in the above categories that is originated by, and received or acquired from, Agencies outside the Department of Defense.

Disposition: Destroy not later than 1 year after acquisition unless validated for retention for another year when it is determined during the annual verification review by the Secretaries of the Military Departments that a continued threat exists.

210-01.2.1.2. Files or other documents created within the Department of Defense that contain significant analytical comments, value judgments, or recommendations on information received or acquired from Agencies outside the Department of Defense.

Disposition: Retain for a period not in excess of 1 year after acquisition, unless validated on an annual basis for continued retention. When DoD-originated information is not validated for continued retention, these files shall be transferred to the National Archives for a determination of their historical value.

210-01.2.2. Activities or events not posing a continuing threat. Information originated by, and received or acquired from, Agencies outside the Department of Defense during the course or routine investigative or liaison activity which after receipt is subsequently determined to fall outside the area of interest of the DoD personnel, property or functions and no DoD file is created or DoD information generated.

Disposition: Destroy immediately after an evaluation determines a threat does not exist or not later than 90 days following acquisition.

210-01.2.3. Special Investigation and Operations. Files or other documentation originated by the DoD Components pertaining to those activities of non-DoD affiliated organizations and individuals that potentially or actually threatened DoD functions, property or personnel, and files or other documentation on Defense Investigative Review Council-approved measures to quell or counter these activities.

Disposition: Permanent. Transfer to the National Archives within 25 years after the date of the last action.

210-01.2.4. Organizations and Individuals Servicing the DoD Installations. Investigative information on organizations and individuals providing commercial services, engaged in contracts, or otherwise engaged in business enterprises on DoD installations.

Disposition: Destroy 1 year after the service is discontinued unless the contract is in dispute, in which event the file shall be destroyed 1 year after final payment of the other settlement of the obligation.

210-01.2.5. Requests for DoD personnel to attend or officiate at meetings, ceremonies, etc., as representatives of the Department of Defense. Information on the organization and individual making the request, the nature of the event, and any other details describing the occasion.

Disposition: Destroy not later than 1 year after the event.

210-01.2.6. One-time requests for admittance to installations (speakers, bands, drill teams, tours, etc.). Information concerning the organization and individual requesting admittance to the installation.

Disposition: Destroy not later than 1 year after the event.

210-01.2.7. Inquiries from members of the public to the Department of Defense for information on DoD functions or units, unit insignia, signatures or photos of senior commanders, etc. Information concerning the collectors of such items.

Disposition: Destroy after 1 year or when no longer determined pertinent by annual review.

210-01.2.8. Unsubstantiated reports to the DoD Components from members of the public alleging imminent invasions, plots, and similar events of a delusional nature, and assorted "crank" letters. Information concerning the organization and/or individual providing such details.

Disposition: Destroy after 1 year or when no longer determined pertinent by annual review.

210-01.2.9. Information collected on non-DoD affiliated civilians incident to the personnel security investigation of an affiliated member.

Disposition: Destroy after 1 year or when no longer determined pertinent by an annual review.

210-02. Civil Disturbance Files (NC1-330-76-1). The Attorney General is the chief civilian officer in charge of coordinating all Federal Government activities relating to

civil disturbances. Upon specific prior authorization of the Secretary of Defense or designee, information may be acquired that is essential to meet operational requirements stemming from the mission assigned to the Department of Defense to assist civil authorities in dealing with civil disturbances. Such authorizations shall only be granted when there is a distinct threat of civil disturbance exceeding the law enforcement capabilities of State and local authorities. Information collected in these circumstances shall be disposed of as follows:

210-02.1. Open source listing of Federal, State, and local officials who have official responsibilities on control of civil disturbances obtained before to commitment of Federal troops and routinely maintained for planning purposes.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

210-02.2. Open source physical data on vital public or private installations, facilities, highways, and utilities, which may be necessary to carry out missions assigned, are obtained before to commitment of Federal troops and routinely maintained for planning purposes.

Disposition: Destroy when superseded, obsolete, or no longer needed.

210-02.3. Data that pertains to early warnings of incidents, potential threats, and situation estimates that are obtained from Federal, State, or local investigative or law enforcement Agencies (that is duplicative of files maintained by the originating Agency) before commitment of Federal troops and subjected to evaluation to determine pertinency with no DoD file being created or no DoD information generated.

Disposition: Destroy 60 days after termination of the specific situation of incident.

210-02.4. Data collected or developed by the DoD Components during a period when field acquisition, reporting, or processing activities have been specifically authorized by the Secretary of Defense. This data includes unconfirmed, fragmentary, routine, or transitory material not included as background data in item 210-02.5.

Disposition: Destroy within 60 days after the termination of the civil disturbance.

210-02.5. Documents prepared by Military Department staffs, Agency headquarters, or task force elements that are responsible for directing the activities of field units that are engaged in quelling a civil disturbance, including background data, after-action reports and historical summaries. Such after-action reports and historical summaries shall avoid to the greatest extent possible references to non-affiliated persons and organizations.

Disposition: Permanent. Transfer to the National Archives within 25 years after the situation or event terminates.

211. NONAPPROPRIATED FUNDS (NC1-330-77-4)

Financial records on the operation of nonappropriated fund activities. Refer to 204-06 concerning the Concession Operations Files. For DoD Nonappropriated Fund Employee Personnel Records 217.

211-01. Collection Records

211-01.1. Cash collection receipts.

Disposition: Destroy after 3 years.

211-01.2. Receipt books and duplicate receipts.

Disposition: Destroy after 2 years.

211-01.3. Accounts control cards. These reflect concession incomes.

Disposition: Destroy 1 year after contract terminated provided account is cleared.

211-02. Disbursements

211-02.1. Checks, separate accounts payable vouchers with supporting purchase orders, receiving report invoices, petty cash vouchers, etc.

Disposition: Destroy when 4 years old.

211-02.2. Checks in payment of proceeds of loans or other receivables.

Disposition: Destroy when loans or receivables are closed.

211-03. Concessionaires

211-03.1. Case files containing approved applications, agreements, financial statements, certificates of insurance, data on equipment, etc.

Disposition: Destroy 4 years after termination or cancellation of the agreement.

211-03.2. Letters of complaint, notices of noncompliance with the agreement, reports of contract violations, etc.

Disposition: Destroy 1 year after termination or cancellation of the agreement.

211-04. General Accounting Ledgers. Ledgers showing debit and credit entries and reflecting expenditures in summary.

Disposition: Destroy 10 years after the close of the fiscal year involved.

212. OFFICE OF THE SECRETARY OF DEFENSE (OSD)

212-01. Records of the OSD, the Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense that:

212-01.1. Issue policy, prescribe procedures or effect organizational structures.

212-01.2. Provide executive direction or document major functions.

212-01.3. Pertain to relations with the White House, Executive Office of the President, Congress or the public.

212-01.4. Pertain to foreign affairs.

212-01.5. Prescribe budget policy.

212-01.6. Pertain to litigations and formal legal opinions.

212-01.7. Pertain to major programs and plans.

Disposition: Permanent. Cut off annually and retire to the WNRC. Transfer to the National Archives when 30 years old. The OSD shall reconsider periodically whether or not the cut off date can be lowered.

212-02. Records of the immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense of a routine, non-policy nature with no permanent value or historical significance.

Disposition: Cut off annually and retire to the WNRC. Destroy when 7 years old.

212-03. Files of personnel evaluated for non-career employment in the Department of Defense. (NI-330-94-2). These files consist of referral letters, resumes, SFs 171, position descriptions, White House clearance letters, OPM certifications, and other correspondence relating to the selection and appointment of political appointees.

Disposition: Destroy at the end of the presidential administration during which the individual is hired, or when no longer needed, whichever is sooner, except that instead of destruction, certain pertinent documents may be offered to OSD Personnel and Security for inclusion in the individual's OPF. (OSD Privacy Act System Notice DATSD 03, "Files of Personnel Evaluated for Non-Career Employment in DoD.")

213. DIRECTIVES SECTION FILES

213-01. Directives Section files (consisting of DoD Directives, DoD Instructions, DoD Publications, Administrative Instructions, amendments thereto, other policy issuances under the DoD Directive Program, and supporting documentation)

Disposition: Permanent. Retire to the WNRC when superseded. Transfer to the National Archives when 30 years old. The OSD shall reconsider periodically whether or not the cut off date can be lowered.

213-02. Information Published in the Federal Register. (See note after item 13b)

213-02.1. Files documenting the processing of notices announcing committee meetings, including open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Disposition: Destroy when 1 year old. GRS 16, Item 13a

213-02.2. Files documenting the processing of semiannual regulatory agenda

Disposition: Destroy when 2 years old. GRS 16, Item 13b

214. INFORMATION OPERATIONS AND REPORTS FILES (IO&R)

214-01. Combat and Non-combat Casualty NI-330-96-2 & NI-330-96-3. An IT file that lists the number of U.S. military casualties, combat, non-combat, missing, captured, or dead.

Disposition: a. IT File. Permanent. Prepare the full data file as of September 30 of each year and transfer to the National Archives 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 the National Archives" (to be completed by Directorate for Information Operations and Reports (DIOR), WHS). b. Hard copy of reports. Permanent. Retire to the WNRC when no longer required for reference.

214-02. Defense Contract Action Data System (DCADS) (NC1-330-78-12). An IT file that contains data on prime contract actions reported on DD Forms 350 and 1057.

Disposition: IT File. Permanent. Prepare the full data file as of September 30 of each year and transfer to the National Archives by acceptable electronic medium within 120 days along with adequate documentation to read and understand the file and a properly

completed NA Form 14097 "Technical Description For Transfer of Electronic Records to the National Archives." IT file containing data on prime contract actions reported on DD Forms 350 over \$10,000 for FY 1966 through FY 1982 and actions over \$25,000 for subsequent fiscal years. Summary data on actions of \$25,000 or less reported on DD Forms 1057 from FY 1984 on are included. Transfer to WNRC by acceptable electronic medium when no longer required for reference.

214-03. RESERVED.

214-04. Forms Management Control Files

214-04.1. Record copy of each form created with related instructions and documentation showing inception, scope, and purpose of the form.

Disposition: Destroy 5 years after related form is discontinued, superseded, or canceled. GRS 16, Item 3

214-04.2. Background materials, requisitions, specifications, processing data, and control records.

Disposition: Destroy when related form is discontinued, superseded, or canceled.

214-05. Reports Control Files. Case files maintained for each report created or proposed, including public use reports. Included are clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Disposition: Destroy 2 years after the report is discontinued. GRS 16, Item 6

214-06. WHS IT/Information Management Files. Documents on the management of WHS IT to include those related to the strategic planning, acquisition, management, and use of IT and implementation of legislative requirements imposed on Federal Agencies' Chief Information Officers.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

214-07. Information Management (formerly 304-05). Documents that develop, establish, and prescribe DoD-wide policy and criteria on management and control of all types of information requirements, including internal, interagency, and public reporting, forms, statistical surveys, and questionnaires and management systems required in the acquisition process, and encompassing all types of techniques of data and information collecting, recordings processing, and reporting. Review the implementation and operations of derivative programs for management and control of information requirements of the DoD Components. Represents the Department of Defense in

development of Federal policy information requirements. Establishes and administers the information requirements levied on the DoD Components, defense contractors, and the general public.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

215. RESERVED

216. FEDERAL VOTING

216-01. Document prescribing the DoD policy in support of voting and establishing procedures (including reports and promotional materials, such as posters and brochures)

Disposition: Permanent. Hold until publication of Federal Voting Assistance Program Report. Present two copies of the Report and two copies of each Voting Assistance Program pamphlet, brochure or poster not previously sent to NARA to the OSD Records Manager for transmittal to NARA. Audiovisual materials supporting the Voting Assistance Program are subject to 701-10., Audiovisual Records Motion Picture Files.

216-02. Evaluation or procedures. Participation support reports from Military Departments.

Disposition: Destroy when no longer needed in accordance with 103-01.3. (routine background materials).

217. PENTAGON FORCE PROTECTION AGENCY (PFPA)

These are files that document police operations at PFPA offices. These are operational files and their use does not prevent the use of any other administrative, logistical, fiscal, or personnel file authorized elsewhere in this Instruction (N1-330-88-2).

217-01. Staff Inspection Records. Records of staff, general, spot, special inspections, and guard contracts.

Disposition: Cut off annually, destroy after 2 years.

217-02. Line Inspection Records. Line and quarterly line inspections and completed checklists.

Disposition: Cut off annually, destroy after 1 year.

217-03. Field Office Inspections. Documents prepared by the staff inspector from surveys, inspections, or evaluations of PFPA operations to promote coordination, detect problems, ensure compliance with operating procedures, policies, schedules, and orders.

Included are the staff inspector's reports, area commanders' replies, and related reports. Inspection reports on contracts are excluded from this file.

Disposition: Cut off after completion of inspection; destroy after 2 years.

217-04. Safety Agreement Files. Documents on accident and fire prevention, disaster control, or civil defense. Included are proposals, coordination actions, copies of agreements, and related records.

Disposition: Cut off when superseded or terminated; destroy after 2 years.

217-05. Safety Meetings Files. Documents on accident and fire prevention meetings, protection meetings, or comparable group meetings.

Disposition: Cut off annually, destroy after 1 year.

217-06. Safety, Occupational Health, and Fire Prevention Council Files. Documents reflecting deliberations and activities of field office councils on safety, occupational health, and fire prevention. Included are listings of members, agenda, minutes, copies of program documents of schedules and related records.

Disposition: Cut off annually, destroy after 2 years.

217-07. Fire Report Files. Documents concerning fires on DoD-owned or leased premises, or other property that the Department of Defense is accountable. Included are fire reports, investigative reports, ad hoc committee investigations of serious fires, and related records.

Disposition: Cut off annually, destroy after 3 years.

217-08. Accident and Fire Prevention promotion files. Documents resulting from efforts to stimulate supervisory and employee interest in accident and fire prevention. Included are charts, and other materials used in publicizing safety achievements and special events.

Disposition: Cut off annually, destroy after 2 years.

217-09. Disaster and Civil Defense Status Report Files. Reports and records showing the self-protection, shelter, stocking, radiological training, and preparedness of Government buildings against enemy attack, natural disaster, and other emergencies.

Disposition: Cut off annually, destroy after 5 years.

217-10. Security Log Files. Logs kept when recorder tapes are changed, when used to record radio transmissions; records recording opening and closing of secured cabinets and safes; log books containing alarm system codes for various buildings; and tapes

maintained to provide a record of alarms and authorized entry into buildings after duty hours.

Disposition: a. Recording tape logs of radio transmissions: Cut off after 30 days, extract information needed for further reference, re-record, and destroy when no longer needed.
b. All other logs: Cut off annually, destroy after 2 years.

217-11. Physical Security Surveys. Documents on the physical security hazards or deficiencies and recommendations for remedial action. Included are: survey reports, facility and occupant data, threats, and findings and recommendations.

Disposition: Destroy when superseded or obsolete.

217-12. Federal Radio Frequency Management Program. Documents on the policies, rules, and regulations governing the allocation of radio frequencies. These consist of the following files:

217-12.1. Frequency Assignment Subcommittee. Included are applications for frequency assignments, modifications, corrections, and the 5-year review; regional requests for action; regional frequency authorizations; Government master file; and administrative agenda and minutes.

217-12.2. Interdepartment Radio Advisory Committee. Included are National Telecommunications and Information Administration Manual and the weekly agenda and summary of minutes.

Disposition: Destroy when superseded or obsolete.

217-13. Telecommunications Program. These records consist of the following files:

217-13.1. Control Center. Documents on the design, installation, and maintenance of telecommunications equipment used in the zone, district, and regional control center.

217-13.2. National Crime and Information Center (NCIC). Documents such as the NCIC Operating Manual, Code Manual, Update, and Newsletter; control terminal officer assignments; and originating Agency identifier applications.

217-13.3. National Law Enforcement Telecommunications Systems (NLETS). Documents such as the NLETS Operating Manual, Code Manual, Update, and Newsletter.

Disposition: Destroy when superseded or obsolete.

217-14. Occupant Letters Files. Letters from occupants of DoD-owned or leased space that has a PFFPA protection and safety response. They contain correspondence on

safety systems, crime, protection, parking, and related records.

Disposition: Cut off annually, destroy after 1 year.

217-15. Firearm and Badge Record Files. Card files of employees issued firearms and badges. This file is organized by employee name and serial number of equipment.

Disposition: Name: Destroy when employee leaves position and equipment is turned in. Serial Number: Update card as equipment is reassigned.

217-16. Assignment Record Files. Documents reflecting tour of duty schedule, days off, and post assignments for Defense Protective Officer's (DPOs) and contract guards. Records include forms recording hours of duty schedule and related documents.

Disposition: Cut off annually, destroy after 3 years.

217-17. Special Operating Procedures Files. Staff and supervisory DPOs may issue their rules and regulations to DPOs for guidance during the performance of individual duties.

Disposition: Destroy when superseded or obsolete.

217-18. Flag Records. Documents on regulations, proclamations and notices to fly the flag at half staff. Included are requests on the notification list, proclamations, and related records.

Disposition: Cut off annually, destroy after 1 year.

217-19. Record of Time of Arrival and Departure. Documents reflecting entry and exit from buildings (during security hours) files. Register used to record the time of arrival, departure, destination of personnel packages, visitors and vehicles entering or leaving premises. Included are forms recording times of arrivals and departures; these forms are also used by supervisory DPOs when conducting inspection. Forms used by contract guards should be filed under 217-26., Contract Guard Records.

Disposition: Cut off annually, destroy after 4 years.

217-20. Lost and Found Property Files. Documents on the reporting, receiving, accounting for and disposing of lost and found property.

Disposition: For found property, destroy cards and tags when property is restored to its owner. All other records: Cut off annually, destroy after 3 years.

217-21. Physical Evidence Files. Documents on the preservation and accountability of physical evidence.

Disposition: Cut off when property is returned to owner or disposed of, destroy after 2 years.

217-22. Evidence Log Files. Log books or registers of physical evidence obtained during the investigation of crimes.

Disposition: Cut off when all property has been returned to owner or otherwise disposed of, then destroy after 2 years.

217-23. Report of Excess Personal Property Files. Included are forms used when accounting for the disposal of lost, abandoned, unclaimed, or excess Government or personal property.

Disposition: Cut off annually, destroy after 3 years.

217-24. DPO Equipment Record Files. Documents on each DPO for equipment and uniforms issued. Included are measurements, property receipts, and related records.

Disposition: Cut off when employee returns equipment, destroy after 6 months.

217-25. DPO Log Files. Included are:

217-25.1. Security Logs, which are records of notices to Agencies on a security or energy violation found by PFPA; e.g., open safes, open security areas.

217-25.2. Report Logs, or log books on the number assigned to reports written by PFPA units.

217-25.3. Ticket Logs, or log books of traffic tickets issued.

217-25.4. Ticket Log on thefts, or log books on stop-theft tickets issued.

217-25.5. Mobile Reports, or forms used by PFPA mobile units as checklists showing the times that a facility was checked.

217-25.6. Code 44, or records on transport of prisoners, bank escorts, etc.

217-25.7. Activity Logs, or logs documenting daily activities at guard posts.

217-25.8. Building logs, or monthly logs of daily activities within buildings; included are copies of activity log forms.

Disposition: Cut off annually, destroy after 2 years.

217-26. Contract Guard Record Files. Records dealing with all aspects of PFPA. Included is information on guards, firearms, qualifications training certification, sign-in

and -out sheets, technical manager and monitor inspections and related records.

Disposition: Cut off at expiration of contract, hold 1 year and retire to the WNRC; destroy when 6 years and 3 months old.

217-27. Special Protection Measures Files. Documents accumulated covering physical security measures planned and taken to protect Very Important Persons visiting DoD-controlled facilities.

Disposition: Cut off annually, destroy after 2 years.

217-28. Crime Prevention Assessment Files. Documents accumulated from conduction assessments and inspections to evaluate physical protection services, facilities, equipment, and activities. Included are checklists, assessment forms and recommendations, reports, corrective and follow-up actions, and related records.

Disposition: Destroy when superseded or obsolete.

217-29. Crime Prevention Program Files. Correspondence forms from the Crime Prevention Unit. Included are questionnaires, bulletins, notices, and related records.

Disposition: Destroy when obsolete or no longer needed for reference.

217-30. Law Enforcement Agreement Files. Copies of Agreements and related records on the relationships between, responsibilities of, and actions to be taken by protection officers, groups, and law enforcement officials.

Disposition: Cut off when agreement expires or is terminated, Destroy after 2 years.

217-31. Reimbursable Work Authorization Files. Records included GSA Form 2957, "Reimbursable Work Authorization," from Agencies to request that GSA perform work on a reimbursable basis. This form authorizes the work, controls the amount of work performed, and the dollar value. Included are backup estimates and requests for changes, bills, purchase orders, travel documents, and related records.

Disposition: Cut off annually or on completion of work; destroy after 1 year.

217-32. Staff Hours Distribution Files. Records of staff hours spent by craft employees on any activity or assignment. Included are daily time reports, time sheets, time summaries, and related records.

Disposition: Cut off annually, destroy after 1 year.

217-33. Training Record Files.

217-33.1. Documents on the continuing program of providing training for uniformed and other PFPA personnel in the field including programmed training, sight and sound packages, and instructions by supervisory officers. Included are course curriculums, qualification records, schedules, rosters, training bulletins, and related records.

Disposition: Destroy 5 years after completion of specific training program.

217-33.2. Training Administrative Database. This file consists of information derived from hard copy records authorized for destruction by NARA-approved SF 115s covered elsewhere in this section and is used solely for administrative purposes.

Disposition: Delete when no longer needed. GRS 20, Item 3 (b) (1)

217-34. FPS Academy Records. Documents on training of students at FPS Academy. Included are curriculums, schedules, rosters testing records, attendance records, firearm training and certification, and training aids.

Disposition: Cut off annually, destroy after 5 years.

217-35. Firearms Files. Documents on firearms and firing ranges.

Disposition: Cut off annually, destroy after 2 years.

217-36. Incident Reporting and Investigative Case Files (N1-330-92-7).

217-36.1. Reports related to specific incidents concerning facility problems, property damage, fire drills, and similar matters as well as preliminary and other reports of criminal investigations maintained from the opening of a case until case closure. May include information on sources and evidence, information on non-criminal matters (such as internal affairs investigations, incidents where investigators and police officers are requested to assist the public in emergencies, etc.), and information collected on the following Secretary of Defense (SD) forms (or their successors): SD 541 "Complaint Record"; SD 545 "Incident Report"; SD 545-1 "Interview Sheet"; SD 542 "Accident Report"; SD 550 "Arrest Report"; SD 547 "Defendant/Suspect Statement"; and all narrative information related to cases under investigation.

Disposition: a. Non-criminal activity reports. Place in inactive file upon case closure. Review files at least once a year and destroy all files closed for at least 1 year. b. Criminal activity reports. Cut off when case is closed and place in inactive file area for 3 years. Retire to the WNRC 3 years after cut off; destroy 15 years after cut off.

217-36.2. Information on current and former applicants for the position of PFPA officers.

Disposition: Destroy when 2 years old.

217-36.3. Contingency planning and analysis files pertaining to regional, nationwide, and worldwide terrorist organizations and their potential effects on the security of DoD facilities. These files contain intelligence briefs; tactical, operational and strategic information reports; regional and nationwide contingency analyses; contingency action plans; and information on patterns and trends of potential or actual terrorists or terrorist groups and other activities that could disrupt the orderly operations of DoD-owned or -controlled facilities over which PFPA has jurisdiction.

Disposition: Destroy when superseded, obsolete, or no longer needed.

218. MOTOR VEHICLE MAINTENANCE AND OPERATIONS FILES.

These files consist of records created by Organizational Transportation Offices, responsible for maintaining records of maintenance and operations of motor vehicles. These records consist of service logs and reports, vehicle repair and maintenance checkoff sheets, costs ledgers; both hard copy and electronic, claims correspondence and related forms.

218.01. Motor Vehicle Correspondence Files. Correspondence in the operating unit responsible for maintenance and operations of motor vehicles.

Disposition: Destroy/delete when 2 years old. GRS 10, Item 1

218.02. Motor Vehicle and Operations and Maintenance Files. Motor vehicle operating and maintenance records relating to gas and oil consumption, dispatching, scheduling, and service and repair, included are: Records on vehicle deadline reports; Records on vehicle appraisal and requirements reports; and Records on vehicle inspections and test schedules.

Disposition: Cut off quarterly. Destroy/delete when 1 year old. GRS 10, Items 2a & 2b

218.03. Motor Vehicle Cost Files. Motor vehicle ledger and worksheets providing cost and expense data, maintained in hard copy and electronically.

Disposition: Destroy/delete 3 years after discontinuance of ledger or date of worksheet. GRS 10, Item 3

218.04. Motor Vehicle Report Files. Reports on motor vehicles other than accident, operating, and maintenance reports. Included is SF 82, Report of Motor Vehicle Data.

Disposition: Destroy/delete 3 years after date of report. GRS 10, Item 4

218.05. Motor Vehicle Accident Files. Records relating to motor vehicle accidents, maintained by transportation offices, included are: Operator's report of motor

vehicle accident; Investigative reports of motor vehicle accident; and Statement of witness.

Disposition: Destroy/delete 6 years after case is closed. GRS 10, Item 5

218.06. Motor Vehicle Release Files. Records relating to the transfer, sale, donation or exchange of vehicles.

Disposition: Destroy/delete 4 years after vehicle leaves organization's custody. GRS 10, Item 6

218.07. Motor Vehicle Operator Files. Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization of use, safe driving awards, and related correspondence.

Disposition: Destroy/delete 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner. GRS10, Item 7

SERIES 300

UNDER SECRETARY OF DEFENSE (COMPTROLLER) (USD(C))/CHIEF
FINANCIAL OFFICER (CFO), DEPARTMENT OF DEFENSE

300. COMPTROLLER GENERAL (NC1-330-77-13)

The Under Secretary of Defense (Comptroller)/Chief Financial Officer (CFO), Department of Defense is the principal staff assistant to the Secretary of Defense for programming, budgeting, auditing, and fiscal functions. Unless otherwise indicated, permanent files described herein and retired to the WNRC shall become available to the National Archives when 30 years old.

301. RESERVED. (103 Common Mission Files.)

302. RESERVED

303. PRINCIPAL DEPUTY COMPTROLLER PROGRAM/BUDGET FILES

303-01. Comptroller Issues and Action Files. Documents that represent the cognizance of this office over all important Comptroller issues on the programming systems, financial and budget policy.

Disposition: Permanent. Retire to the WNRC when no longer current.

303-02. Plans and Systems (NC1-330-80-7)

303-02.1. Contains documents that develop and establish financial policy. Studies of the policy, recommended changes, and directives.

Disposition: a. Permanent. Retire policy documents and studies to the WNRC when canceled or superseded. b. Destroy documents with Program and/or Budget position on DoD Directives and Instructions when no longer needed for reference purposes.

303-02.2. Congressional Relations. Documents developing DoD actions and positions taken on congressional authorization and appropriation actions; correspondence and documentation supporting DoD appeals; documents on preparation for hearings, proposed statements, and proposed answers to anticipated questions.

Disposition: a. Permanent. Retire to the WNRC when 3 years old. b. Reports published by congressional committees on Comptroller-related DoD matters: Armed Services, budget appropriations, or other regular or ad hoc committees. Destroy when no

longer required for reference. c. Correspondence with Congress of routine, non-policy nature: Destroy when no longer needed for reference purposes.

303-02.3. Budget Matters. Documents that establish budgeting principles, policies, systems, and procedures covering all budget formulation, management, and execution processes within the Department of Defense and that maintain surveillance of the same; economic analyses and studies concerning the budget impact.

Disposition: Permanent. Economic analyses and studies of budget input. Retire to the WNRC when 5 years old. Documents on policy matters, systems, and procedures. Retire to the WNRC when canceled or superseded for permanent retention.

303-02.4. North Atlantic Treaty Organization (NATO) Financial Matters. DoD financial reports to NATO.

Disposition: Permanent. Retire to the WNRC when 10 years old.

303-03. Construction Files.

303-03.1. Documents that review, evaluate and recommend on all the DoD Component's Program Objective Memoranda (POM), budget requests, apportionment requests, and budget execution plans for all military construction, homeowners assistance, or family housing appropriations, and for the areas of national intelligence (or other classified projects).

Disposition: Permanent. Retire to the WNRC when 3 years old. Transfer to the National Archives when 20 years old.

303-03.2. Documents that monitor the execution of the budget for military constructions, homeowners assistance, or family housing appropriations, and for areas of national intelligence (or other classified projects). Reports and studies that accomplish the same. Policy directives and procedures for the management of these programs.

Disposition: Permanent. Retire policy documents when superseded or canceled. Transfer to the National Archives when 20 years old.

303-04. Operations Files.

303-04.1. Documents that review, evaluate, and make recommendations on the DoD Components' POMs, budget requests, apportionment requests, and budget execution plans for the annual cost of operations of the Department of Defense.

Disposition: Permanent. Retire to the WNRC when 3 years old.

303-04.2. Documents that monitor financial execution of the Military Personnel and the Operation and Maintenance appropriations.

Disposition: Retire to the WNRC when 3 years old. Destroy when 25 years old.

303-05. Program and Financial Control.

303-05.1. Analyses of current and projected financial and quantitative data to ascertain financial requirements and progress in terms of obligations and expenditure rates of Department of Defense's appropriations and reports on significant trends.

Disposition: Permanent. Retire to the WNRC when 3 years old.

303-05.2. Primary uses of computer systems and programs supporting the budget process. Computer reports, users manuals, correspondence with programming, and IT support activities.

Disposition: Destroy 5 years after superseded.

303-05.3. Documents that develop and review the Future-Year Defense Program (FYDP). Instructions that establish procedures for its development and input reports from Component activities.

Disposition: a. Procedures and policy on the FYDP and reviews and inputs to the FYDP are permanent. Retire to the WNRC when 5 years old for permanent retention. b. FYDP is permanent. Retire to the WNRC when 5 years old.

303-05.4. Preparations and reviews of the estimates of obligations, expenditures, and estimates of annual carryover of availability. Establishment of reprogramming procedures and processes reprogramming action to Congress when appropriate.

Disposition: a. Permanent reprogramming policy and procedures. Retire policy documents to WNRC when superseded or canceled. b. Reprogramming actions and documents are retired to the WNRC when 3 years old for permanent retention.

303-05.5. Documents that prepare fiscal reports, financial statements, charts, and graphs to support the budget presentation, studies, and economic analyses.

Disposition: Permanent. Retire to the WNRC when 3 years old.

303-05.6. Documents that operate and control the Planning, Programming, and Budgeting System (PPBS); review of all Program Objective Memoranda documents and preparation of program change memoranda and the process of same.

Disposition: Permanent. Retire to the WNRC when 5 years old.

303-05.7. Program and Performance Systems. Documents that prepare policies, plans, and guidance for the maintenance, extension, and improvement of the DoD PPBS. This provides broad policy on the entire planning concept for budgeting, for designating programs and acquisitions to be pursued in the immediate future, and for the next 6 years. Prepares the annual action schedule for Program and/or Budget. Prepares policies and objectives to guide development and implementation of subsystems to the FYDP.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

303-06. Investment Files. Documents that review, evaluate, and make recommendations on the DoD Components' POMs, budget requests, apportionment requests, and budget execution plans for all procurement, and all research, development, test, and evaluation appropriations of the Department of Defense. Also, documents that review and analyze the execution of the budget for procurement and research, development, test, and evaluation accounts.

Disposition: Permanent. Reviews, evaluations of POMs, budget requests, studies, and reports. Retire to the WNRC when 3 years old. Transfer to the National Archives when 10 years old.

303-07. Revolving Fund Files. Documents that review, evaluate, and make recommendations on the DoD Components' POMs, budget requests, apportionment requests, and budget execution plans for all revolving funds of the Department of Defense. Also documents that review and analyze budget execution for all revolving fund accounts.

Disposition: Permanent. Retire to the WNRC when 3 years old.

303-08. Reserved

303-09. Reserved

304. PRINCIPAL DEPUTY CHIEF FINANCIAL OFFICER (CFO), FILES

304-01. Systems Policy Files

304-01.1. Policy directives and procedures that direct and supervise the development and implementation of programs for improvement of resources and operations in the Department of Defense (other than budget systems).

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

304-01.2. Assist the DoD Components in efforts to improve management systems.

Disposition: Destroy when 3 years old.

304-01.3. Establish and supervise the accounting policy, program and performance measurement, and banking and finance.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

304-01.4. Correspondence and liaison within the Department of Defense, or with other Government Agencies, international organizations, and foreign governments on the subject.

Disposition: Retire to the WNRC when 3 years old. Destroy when 25 years old.

304-02. Accounting Policy Files. Files that document accounting policies, procedures, operations, and systems. Included among these files are accounting and reporting matters pertaining to:

304-02.1. The Chief Financial Officers Act, the Federal Financial Management Improvement Act, the Government Management and Reform Act, and other legislative matters, including congressional testimony.

304-02.2. The Federal Accounting Standards Advisory Board, the Accounting and Auditing Policy Committee, the Chief Financial Officer Council, the Joint Financial Management Improvement Program, the U.S. Government Standard General Ledger Board and other federal-wide authoritative bodies.

304-02.3. The General Accounting Office, the Office of the Inspector General, the Military Department, internal audit agencies, and other audit and/or investigative organizations.

304-02.4. The Office of Management and Budget, the Department of the Treasury, and other Federal Agencies financial issues.

304-02.5. The Defense Working Capital Fund Board, and other internal DoD deliberative bodies.

304-02.6. Audited Financial Statements, the Defense Working Capital Fund.

304-02.7 Property-related issues, including property in the possession of contractors, valuation, depreciation, capitalization, and National Defense property, plant and equipment.

304-02.8. Inventory-related issues, including operating materials and supplies and valuation of inventory.

304-02.9. Liabilities, including environmental, military retirement and health care.

304-02.10. Inter-DoD and intragovernmental eliminations.

304-02.11. Fund balance with the Treasury.

304-02.12. Current, expired and canceled and/or closed accounts.

304-02.13. Problem disbursements, including intransit disbursements, suspense accounts, triannual reviews of obligations, negative unliquidated obligations and unmatched/undistributed disbursements.

304-02.14. Administrative and personnel-related files and other assorted matters.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

304-03. Defense Business Operations Fund and/or Unit Cost Development Files. These files document the development of unit cost resourcing systems and the implementation of the Defense Business Operations Fund and related financial management applications.

304-03.1. Financial Management Development Files. These files consist of letters, memos, reports (i.e., final reports), and studies generated by the unit cost task force in the development and coordination of financial management programs and systems within the Services and Defense Agencies.

304-03.2. Business Management Application Files. These files consist of letters, memos, and other correspondence; trip reports and site reports (that affect formulation of guidance or policy); and Service and Agency recommendations pertaining to gain sharing, performance measurement and budgeting, organizational assessment tools, publicity and education/training associated with these management programs.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with 103-01.

304-03.3. Program Budget Decision (PBD)/Defense Management Report Decision (DMRD) Documentation Files. This file consists of input to the PBD/DMRD, which is centrally controlled by the Program and Financial Control Directorate.

304-03.4. DoD Budget Files. These files consist of documentation submitted by the Business Management Directorate in its role in preparing the DoD budget. Not to be confused with submissions pertaining only to the Component's budget described elsewhere in this Instruction (103-04.3.).

Disposition: Destroy after 5 years on or discontinuance, whichever is first, as prescribed for documents maintained in accordance with 103-03.3.

304-03.5. Congressional Testimony Files. These files consist of input prepared by the Business Management Directorate for use during congressional testimony and may include congressional reports, inquiries, and liaison documentation. Not to be confused with congressional correspondence files described elsewhere in this Instruction (102-18.)

Disposition: Cut off upon presentation of submission; destroy when 5 years old. Earlier destruction is authorized when no longer required for reference purposes, as prescribed for documents maintained in accordance with 103-11.

304-03.6. GAO/IG Congressional Action Items (surveys and investigations) Reports and Audits Files. Copies of GAO/IG reports pertaining to the Services and Defense Agencies that are kept for information and reference only.

Disposition: a. Action copies. Cut off and retire to the WNRC when no longer needed for oversight or action; destroy after 15 years. b. Information copies. Destroy when no longer needed for reference purposes, as prescribed for documents maintained in accordance with 103-01.

304-03.7. Business Accounting Systems Development Files. These are letters, memos, monthly, quarterly, and annual financial and budgetary reports, financial systems reviews, copies of Corporate Information Management (CIM) steering committee reports and budget documents, studies of financial policies and systems, and business area analysis reports. Included are comments on proposed issuances of policies and procedures from the USD(C), Defense Finance and Accounting Service, and other DoD offices and Components; miscellaneous correspondence on current financial issues, comments on PBD and other financial and budgetary issues; comments on policies related to the Chief Financial Officers Act, the U.S. Government and DoD Standard General Ledgers, and DoD 7000.14-R.

Disposition: Cut off and retire to the WNRC superseded or obsolete, as prescribed for documents maintained in accordance with 103-01.

304-04. Financial Policy Files.

304-04.1. Files that document finance policies, procedures, operations, and systems. Primary files are documents that develop, promulgate, and interpret DoD-wide finance policies related to:

304-04.1.1. Implementing aspects of the Chief Financial Officers Act, to include the annual development and promulgation of rates affecting user fees charged by the Department of Defense, and provisions of the Prompt Pay Act, the Debt Collection Improvement Act, and the Travel and Transportation Act.

304-04.1.2. Banking and credit union services at military installations in the United States and abroad.

304-04.1.3. Disbursing functions to include liability for disbursing officers, certifying officers and accountable officials.

304-05. RESERVED.

304-06. Contract Audit and Analysis Files.

304-06.1. Documents that plan and develop policies and procedures required for directing and controlling performance of DoD audits or surveys of significant problem areas in defense contractor activities.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

304-06.2. Policies and plans for contract auditing. Analyses, evaluations, and coordination of audit organizations, programs, operations, and reports of the Department of Defense. Summarize for key officials highlights of audit reports from the DoD Components and obtains follow-up information on action taken. Development of procurement policies, especially cost principles on contract auditing.

Disposition: a. Plans and policies are permanent. Retire to the WNRC when canceled or superseded. b. Summaries of audit reports are to be destroyed when no longer needed for reference.

304-06.3. Documents that develop policy and procedures to be followed in matters on audit of defense contractors' records. Documents containing technical guidance for the Defense Contract Audit Agency (DCAA) as representative of the USD(C). Evaluations of audit instructions developed by the DCAA to ensure consistency with DoD policies. Documents on development of procurement regulations of instructions on contract audit or contract cost practices.

Disposition: Policies and procedures are permanent. Retire to the WNRC when canceled or superseded.

304-06.4. Reports and working papers on special studies performed to evaluate the effectiveness of contract audit support of procurement.

Disposition: Destroy when no longer needed for reference.

304-06.5. Evaluations of GAO reports and proposed DoD responses thereto that involve contract audit or DoD practices.

Disposition: Destroy GAO report copies, evaluations, and proposed responses after all

actions and coordinations have been completed and the documents are no longer needed for reference.

304-06.6. Correspondence with Assistant Secretary of Defense (ASD) offices, Military Departments, Defense Agencies, industry groups, university groups, and public accounting firms on matters affecting the pricing or costing of contracts or the auditing of costs incurred or proposed thereunder.

Disposition: Destroy when no longer needed for reference.

304-07. Business Policy Files (NI-330-00-3).

304-07.1. Documents that develop, promulgate and interpret DoD-wide policies related to accounting and finance systems developments and deployment, internal controls, systems integration, financial data administration; developing reports to the Congress and others on the status of finance, accounting, and interfacing business systems and processes; implementing within the Department major aspects of the Chief Financial Officers Act of 1990, the Federal Financial Management Improvement Act, the Federal Managers' Financial Integrity Act (FMFIA), the Foreign Assistance Act (FAA), and other statutes and regulatory issuances; and supporting the USD(C)/Chief Financial Officer and Deputy Chief Financial Officer on various interagency forums; and promoting and facilitating improvements to financial management processes, systems and organizations.

Disposition: Permanent. cut off and transfer to WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

304-07.1.1. Electronic versions of records created by the electronic mail and word applications.

Disposition: Delete when file copy is generated or when no longer needed for reference or updating.

SERIES 400

GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE (GC, DoD)

400. GENERAL COUNSEL FILES

General Information. (Except where otherwise indicated, these files are approved under NARA job number NC1-330-76-2.) All permanent records shall be transferred to the National Archives when 30 years old, unless otherwise indicated. For Chronological Reading Files, 102-16. in this Administrative Instruction.

401. RESERVED. (103, Common Mission Files.)

402. OFFICE OF THE GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE

402-01. Office Functional Files.

402-01.1. Legal advice, opinions, and assistance to various committees of the Department of Defense such as: Personnel Security Programs (legal assistance on cases for the OSD Control Clearance Groups) Freedom of Information Act (DoD Directive 5400.7-R); and Interpretations of the Act, case opinions, and background information.

Disposition: Permanent. Cut off and retire to the WNRC 2 years after no longer needed for current business.

402-01.2. DoD Legislative Program. Records that relate to the review, coordination, and presentation of proposed legislation or executive actions that involve any activity of the Department of Defense.

Disposition: Permanent. Cut off and retire to WNRC when no longer needed for current business.

402-01.3. Emergency Planning and Continuity of Operations. GC, DoD's role in subject programs, legal advice on acquisition, and seizure of essential property of equipment. Inventory of essential records for the GC, DoD.

Disposition: Permanent. Retire discontinued legislation file to the WNRC 2 years after no longer needed for current business.

402-01.4. Records on court trials, administrative hearings, and other legal proceedings, correspondence, and case files.

Disposition: Permanent. Retire record copies to the WNRC 5 years after no longer needed for current business.

402-01.5. Records documenting legal terms and conditions for the acquisition, care, and occupancy of real property, such as contracts, insurance policies, leases, titles, and other similar records.

Disposition: Retirement or disposition authorized only on an individual case basis. Submit SF 135 for appropriate authorization when disposition action is desired.

402-01.6. Records on the development and establishment of policies and methods employed in civil government and related matters.

Disposition: Permanent. Retire record copies to the WNRC 2 years after no longer needed for current business.

402-02. Deputy General Counsel (Fiscal).

402-02.1. Legal advice and assistance to the OSD Welfare and Recreation Association.

Disposition: Permanent. Retire record copies to the WNRC 2 years after no longer needed for current business.

402-02.2. Directives and Policy. Legal advice on proposed directives of a fiscal nature.

Disposition: Permanent. Retire record copies to the WNRC 2 years after no longer needed for current business.

402-02.3. Collection, compromise, or termination of collection actions on DoD civil claims for money or property.

Disposition: Permanent. Retire record copies to WNRC 2 years after no longer needed for current business.

402-02.4. Legal advice on fiscal matters and coordination on fiscal directives. Records documenting legal terms and conditions of interests, tariff, and tax administration matters.

Disposition: Permanent. Retire record copies to the WNRC 2 years after no longer needed for current business.

402-03. Deputy General Counsel (Personnel and Health Policy).

402-03.1. Advice and assistance to the ASD (Personnel and Readiness, Reserve Affairs, Health Affairs) in the clearances of directives and policy, the preparation of legislative packages, and in all other aspects such as, nondiscrimination, and appeal rights that may have legal applications.

Disposition: Permanent. Retire to the WNRC when 5 years old.

402-03.2. Documents providing advice to the ASD (P&R) personnel matters such as equal opportunity, labor management relations, off-base housing.

Disposition: Permanent. Retire to the WNRC when 5 years old.

402-04. Deputy General Counsel (Acquisition and Logistics).

402-04.1. Legal directives, advice, and opinions on inventions and their licensing.

Disposition: Permanent. Retire to the WNRC when 5 years old.

402-04.2. Legal aspects of conservation and management of natural resources such as oil reserves.

Disposition: Permanent. Retire to the WNRC when 5 years old.

402-04.3. Records on the documentation of the policy for the acquisition of real property, terms and conditions of the titles, contracts, deeds, court orders, and related proceedings.

Disposition: Permanent. Retire record copies to WNRC 3 years after no longer needed for current business.

402-04.4. Legal advice on Defense Acquisition Regulation (DAR) or other procurement matters and files of procurement actions of special interest to OSD. Legal advice to the Defense Systems Acquisition Review Council on procurement activities. Advice and review of procurement contracts.

Disposition: Permanent. Retire to the WNRC when 10 years old.

402-04.5. Legal advice on general directives, instructions, and operation of logistical functions. Advice on transportation matters, proceedings before regulatory agencies, motor vehicle accidents, Homeowners Assistance Program, etc.

Disposition: Permanent. Retire to the WNRC when 10 years old.

402-04.6. Committee files. Advice and assistance to various committees in these functional areas such as the OSD Concessions Committee that require contract and lease advice.

Disposition: Permanent. Retire to the WNRC when 5 years old.

402-05. Senior Deputy General Counsel (International Affairs and Intelligence).

402-05.1. Legal advice and assistance on such international matters as: Status of Forces Agreements, jurisdiction of service courts of friendly foreign forces, review of

legality of weapons under international law. Agreements with foreign governments or international organizations.

Disposition: Permanent. Retire to the WNRC when 10 years old.

402-05.2. Legal opinions prepared for the Secretary of Defense on Defense matters under discussion or review by the Department of State.

Disposition: Permanent. Retire to the WNRC when 10 years old.

402-05.3. Directives and policy instructions to the DoD Components of the Department of Defense concerning such subjects as indicated in 402-05.1.

Disposition: Permanent. Retire to the WNRC when 10 years old.

403. STANDARDS OF CONDUCT OFFICE

The dispositions included here apply EXCEPT that documents needed in an on-going investigation shall be retained until no longer needed in the investigation. GRS 25, Item 2a(2)

403-01. DoD and Defense-Related Employment Files. Reports from former military and DoD employees who accept positions with defense contractors within 2 years after separation and reports from employees of defense contractors who accept jobs with the Department of Defense. The volume of business with the Department of Defense must be in excess of \$10,000,000 per year. Reports are submitted on DD Form 1787, "Report of DoD and Defense Related Employment."

Disposition: Cut off at the end of the calendar year. Destroy when 6 years old.

403-02. Affiliations and Financial Interests Files. These files contain original copies of DD Form 1555, "Confidential Statement of Affiliations and Financial Interests Department of Defense Personnel," and DD Form 2292, "Request for Appointment or Renewal of Appointment of Consultant or Expert." These forms are renewed annually.

Disposition: Cut off at end of calendar year. Destroy when 6 years old.

403-03. Executive Financial Disclosure Reporting Files. These files contain copies of SF 278, "Executive Personnel Financial Disclosure Report," that is required to be submitted by those Government officials specified by the Ethics in Government Act of 1978. Also included are worksheets, correspondence, and other pertinent documents.

Disposition: Cut off annually. Destroy when 6 years old.

403-04. Defense Contractor Reports on Former DoD Employees. These files contain originals of reports submitted by defense contractors in accordance with 10 U.S.C. 2397 regarding certain former DoD employees. Reports are submitted in any format by

defense contractors aggregating \$10 million or more in Defense contracts.

Disposition: Cut off annually. Destroy when 6 years old.

403-05. Conflict of Interest Files. Advice and assistance on conduct and conflict of interest. Reviews and adjudication of statements of employment and financial interest.

Disposition: Destroy statements of employment and interest and related papers 2 years after the employee leaves the Agency or leaves the position in which a statement is required.

404. OFFICE OF HEARINGS AND APPEALS FILES

404-01. Policy Files. Policy statements, directives, and general administrative documents on the Defense Industrial Security Clearance Review Program.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for files maintained in accordance with 103-01.

404-02. Investigative Report Files. Summaries and reviews and investigative reports on issuance of, or continuation of clearances, which are favorable.

Disposition: Retire to the WNRC 2 years after no longer active. Destroy 20 years later (NC1-330-77-11).

404-03. Hearing Case Files. Case files on determinations and hearings for applicants maintained by Department Counsel, Administrative Judges, and Appeal Board.

Disposition: Retire to the WNRC 2 years after no longer active. Destroy 20 years later (NC1-330-77-11).

404-04. Final Decisions. Redacted copies of final decisions of Administrative Judges and Appeal Board.

Disposition: Retain in OSD. Review for disposition in 20 years (NC1-330-77-13).

404-05. Psychiatric Consultants Files (NC1-330-79-5). Files of psychiatric consultants who have agreed to conduct examinations for the Department of Defense on individuals applying for access to classified information. Each case file consists of background historical information on consultants.

Disposition: Destroy case file 6 months after the agreement between the Department of Defense and the consultant has been terminated.

405. LEGISLATIVE REFERENCE SERVICE FILES

405-01. Legislation and Opinion Files. Documents on proposed legislation and legal opinions, positions on legislative matters if of interest to the Defense Department.

Disposition: Permanent. Retire to the WNRC after no longer current or required for reference.

405-02. Document Reference and Distribution Point Files. Copies of documents, laws, acts, Federal Code, directives of legal interest used to facilitate work.

Disposition: Destroy when no longer needed for reference.

405-03. Historical Legislation. Documents, opinions, and related papers of legislative content that have historic or continuing interest.

Disposition: Permanent. Retire to the WNRC when legislation is no longer effective.

406. NON-CAREER SES (POLITICAL APPOINTEES) VETTING FILES (NC1-330-94-2)

This file consists of records collected to evaluate suitability of individuals seeking or who have been recommended for non-career positions within the Department of Defense and consist of referral letters, White House clearance letters, OPM certifications, information about individual's professional licenses, results of Federal Bureau of Investigation (FBI) and Internal Revenue Service inquiries, financial disclosure statements (SF 278), personal data questionnaires and general counsel interview sheets, published newspaper and magazine articles by and about the applicant, and other correspondence relating to the selection and appointment of political appointees. This file contains information protected under the Privacy Act of 1974 (DGC 16) and is not to be confused with file series 212.03. maintained by the White House Liaison Office and the Special Assistant to the Secretary of Defense for Personnel.

Disposition: a. Selectees: Destroy at the end of the presidential administration during which individual is hired. b. Nonselectees: Destroy records of individuals who are not hired 1 year after the file is closed, but not later than the end of the presidential administration during which the individual is considered.

SERIES 500

INTELLIGENCE

500. INTELLIGENCE (NC1-330-77-9)

Files of this series pertain to the intelligence functions of the Secretary of Defense. They contain all DoD intelligence policies, programs, and activities, including those for warning, reconnaissance, and other related areas that may be designated by the Secretary of Defense. Files described herein may be further subdivided, depending upon volume, by the additions of a decimal suffix. UNLESS OTHERWISE INDICATED, PERMANENT FILES DESCRIBED HEREIN SHALL BE TRANSFERRED TO NARA WHEN 25 YEARS OLD.

501. RESERVED. (103 Common Mission Files.)

502 PROGRAMS AND RESOURCES

502-01. Programs and Resources.

502-01.1. Documents that develop, coordinate, and promulgate all documents in intelligence and intelligence-related planning and programming at the OSD level.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

502-01.2. Analyses of intelligence resources programs and supervision of their implementation.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

502-01.3. Recommendation of objectives, plans, and guidance for intelligence resources.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

502-01.4. Formulation of budget estimates, fiscal and manpower, for the intelligence positions of the DoD budget. Reviews of intelligence programs and recommendations for funding levels.

Disposition: Budget estimates and fund level recommendations. Destroy when 6 years old.

502-01.5. Documents that maintain the intelligence database, fiscal and manpower databases. User manuals and data element definitions.

Disposition: User manuals. Destroy 2 years after system is discontinued. Data element definition: Destroy 2 years after superseded.

502-02. General Systems.

502-02.1. Concepts and plans for improved management of DoD intelligence activities.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

502-02.2. Policies for the management of intelligence operations including operational requirements and priorities.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

502-02.3. Correspondence with and coordination of intelligence activities within the Department of Defense and with other U.S. Government entities.

Disposition: Permanent. a. Policy correspondence with intelligence activities. b. Administrative non-policy correspondence and related documents. Destroy 5 years after coordination action is discontinued or when no longer needed.

503. INTELLIGENCE, SURVEILLANCE AND WARNING

503-01. Intelligence, Surveillance and Warning.

503-01.1. Policy direction for the development, interpretation, and operation of warning systems. Reviews and analyses to define objectives and determinations of adequacy of current and future warning systems.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

503-01.2. Technical and policy Directives for all programs involving electronic intelligence (ELINT) within the Department of Defense. Reviews and analyses of adequacy of current or future ELINT systems. Cost and/or value evaluations of such systems.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or when no longer needed.

503-02. General Defense Intelligence Program.

503-02.1. General Defense Intelligence Program (GDIP). Development, review, program issues on Government Agencies and DoD Services.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or no longer needed.

503-02.2. GDIP budget submissions, evaluations, revisions, meetings, committee notes, recommendations, etc.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

503-02.3. GDIP resource data of Government Agencies and DoD Services.

Disposition: Destroy when obsolete or no longer required.

503-02.4. Reference files of budget justifications, defense plans, Joint Strategic Objective Programs, Joint Staff Memorandums, Defense Policy Programming Guidance Memorandum, etc.

Disposition: Destroy when obsolete or no longer required.

503-03. Space Systems. Evaluations of programs for new systems and devices related to intelligence functions. Determinations on the needs for intelligence programs based on analyses of threats, resource priorities, requirements, trends, strategic objectives, and innovations in technology. Studies and technical guidance on specialized intelligence systems.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

503-04. SIGINT Systems.

503-04.1. Policy directives for the development, integration, and operation of reconnaissance and surveillance programs. Reviews and analyses of existing and planned systems to determine adequacy and objectivity.

Disposition: Permanent. Retire to the WNRC 2 years after completion of actions or when no longer needed.

503-04.2. Technical and policy direction for all reconnaissance and surveillance programs.

Disposition: Permanent. Retire to the WNRC 1 year after canceled or obsolete.

503-05. Intelligence Resources

503-05.1. Fiscal Guidance. Correspondence, issue papers, referrals, related congressional hearing data, etc.

503-05.2. Intelligence Budget Data. OSD offices' intelligence budget.

503-05.3. Consolidated Intelligence Resources Information Systems budget requirements, justification analyses, and management.

503-05.4. Contract Fund Allocation. Data by fiscal year.

Disposition: Permanent. Cut off at end of calendar year, hold in the CFA 1 year and retire to the WNRC.

503-05.5. Policy. Budget-related data on DoD Services operations.

Disposition: Permanent. Retire to the WNRC 3 years after file cut off (calendar year).

503-05.6. Congressional Fiscal Data. Policy, appropriations, presentation back-up data, House and/or Senate and/or Conference bills, correspondence, testimonies.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or when no longer needed for reference.

503-05.7. Studies and exercises for DoD Services. Preparation and backup data and copies of completed documents.

Disposition: Destroy when obsolete or no longer needed for reference.

503-05.8. Budget Issue Papers. DoD Services and Government Agencies.

Disposition: Destroy when obsolete or no longer needed.

504. INTELLIGENCE (OTHER)

504-01. Contractor Files. Research and evaluation project study documents created by civilian companies, corporations, etc., per Government contract for resultant documents.

504-01.1. Interim contract reports and document volumes that are portions of complete contract requirements and contract files by contract titles.

Disposition: Destroy when above files are complete.

504-01.2. Correspondence with point of contact on contract timing, change, amendments, background data, control and dissemination of created documents.

Disposition: Permanent. Retire to the WNRC 1 year after completion or no longer needed.

504-01.3. Control, dissemination, and evaluation of contractor products by military and/or civilian professional staff.

Disposition: Permanent. Retire to the WNRC 1 year after completion or no longer needed.

504-02. General Purpose Force Reference and Planning Files. Operations plans, orders, and technical description and evaluation publications and committee meetings and evaluation minutes, issues, discussions, and conclusions.

Disposition: Reference files. Destroy when obsolete or no longer needed; committee minutes destroy 1 year following annual cut off.

504-03. Strategic Force. Strategy plans; offensive system files and intelligence committee correspondence; Strategic Arms Limitations Talks (SALT) monitoring documents, messages and papers.

Disposition: Destroy when obsolete or no longer needed (reference files).

504-04. Intelligence Collection systems. Allocations, product evaluations, perspectives, and objective files.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or no longer needed.

504-05. Special Subject Files. Analysis, comparison, management, study results, and historical research of special subjects.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or when no longer needed.

504-06. Intelligence Reference Documents. Memoranda, reports, reviews, and required following fact sheets and/or books and service and foreign country publications.

Disposition: Destroy when obsolete or no longer required following annual cut off of files.

SERIES 600

ASSISTANT SECRETARY OF DEFENSE (RESERVE AFFAIRS) (ASD(RA))

600. RESERVE AFFAIRS

This organization is responsible for National Guard and Reserve Affairs of the Department of Defense as provided by 10 U.S.C. to include manpower, personnel, force structure, programming, funding, procurement, facilities and construction, equipment and logistics, legislation, training, management, mobilization readiness, and other aspects of Reserve Affairs. Permanent documents in this series, unless otherwise note, shall be transferred to the NARA when 30 years old.

(The 600-series numbers are reserved for ASD(RA)-unique files; those descriptions that follow are covered by dispositions listed elsewhere in this Instruction and are presented here for ease of reference only.)

102-02. Reserve Component (RC) Military Readiness Briefing. This file contains the viewgraph presentation on RC force readiness for presentation to the Secretary of Defense.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

103-01. Reserve Affairs Policy Files. These files contain policy matters that pertain to all aspects of the ASD(RA)'s mission.

103-01.1. Materiel and Facilities. Documents that pertain to and involve facilities management and construction and all aspects of materiel for the Reserve components; record files for the annual National Guard and Reserve Equipment Report; Military Construction Programs, and Operations and Maintenance Program; congressional hearing statements, transcripts, and correspondence; audit and inspection reports; special programs, initiatives, studies, and reports pertinent to RCs.

103-01.2. Readiness, Training, and Mobilization. Documents that pertain to the readiness and training posture of Reserve forces, mobilization policy, and processes whereby the Reserve forces respond to assigned missions, and those initiatives related to interallied RC matters including meetings of the Interallied Confederation of Reserve Offices (CIOR) and National Reserve Forces Committee (NRFC). Studies and reports conducted by this office and Services that examine or recommend upon readiness, training, and mobilization. Studies that consider restructuring to improve readiness and training posture.

103-01.3. Mobilization Policy and Plans. Documents governing the mobilization of the National Guard and Reserve forces. Studies and reports conducted by this office and by Component forces that examine the ability to mobilize the Guard and Reserve forces. Documents that review, develop, or amend DoD Directives and Instructions on policy affecting mobilization of the Guard and Reserve forces. Review studies conducted by the Service education institutions, the DoD Agencies, and other

Government Departments and Agencies on Reserve mobilization issues; reviews and analyses of allied Reserve forces.

103-01.4. Reserve Affairs Emergency Action Packages. Crisis management instruction sets for use as guidelines by OSD decision makers.

103-01.5. Manpower and Personnel. Documents that pertain to and involve Reserve force manpower and personnel policies and procedures, personnel utilization and standards, full-time support programs, accession plans and programs, manpower and personnel data systems, legislation, pre-trained individual requirements and programs, and RC compensation, entitlement, and quality of life programs.

103-01.5.1. Manpower Programs and Requirements. Documents dealing with policy on RC categories and reports that reflect Reserve manpower requirements or the use of Reserve forces. Preparation of the Reserve portions of the Military Manpower Training Report and Military Manpower Requirements for Congress.

103-01.5.2. Equal Opportunity Policy. Documents on Reserve and examination of program effectiveness. Reports from the Components on implementation of the program. Statistics on the ratios of minorities used as a yardstick to measure success. Also includes Defense Advisory Committee on Women in the Services (DACOWITS) documentation.

103-01.5.3. Manpower Mobilization. Documents on studies, policies, requirements and exercises that pertain to the mobilization of Reserve forces. Included are studies and policies on civilian mobilization, casualty estimation, and the Wartime Planning System (WARMAPS).

103-01.5.4. Screening Policy. Documents on matters prescribing uniformity in the screening and separation of Ready Reserves.

103-01.5.5. Compensation Policy. Documents on application of uniform rates of compensation, methods of attainment, per diem on active duty, travel, and transportation for Reservists.

103-01.5.6. Legislative Policy. Documents on matters prepared to implement the need for changes affecting the Reserve and National Guard such as uniform promotions and retirements for all Components.

103-01.5.7. Personnel Data Systems. Documents on policy matters that establish a management information system for Reserve personnel, identify data elements, inputs, and outputs of the system. Does not include the IT documentation and retention separately or copies of users manuals described in the applicable 1600-series.

103-01.5.8. Accession and Training. Documents on issues, including GAO/IG reviews, on enlistment programs, policies for interservice transfer, retention studies, recruiting, initial entry, and refresher training.

103-01.5.9. Incentive Policy. Documents on issues and policy on special and incentive pays, bonus programs, educational benefit programs, including the Montgomery GI Bill, STIPENDS, and loan repayment.

103-01.5.10. Education. Documents on issues, information papers, and studies on educational opportunities within the military other than the Montgomery GI Bill.

103-01.5.11. Personnel. Documents on matters such as promotion of both officer and enlisted personnel, drugs and alcohol, HIV, Veterans' Reemployment Rights, and Family Policy.

103-01.5.12. Medical. Documents governing structure, utilization, training, equipping, and modernization of RC medical forces.

103-01.5.13. Separation and/or Transition. Issues, documents, studies, and policies on the separation and/or transition of Service members to, from, or between RCs. Included are items on benefits associated with separation/transition actions.

103-01.5.14. Corporate Information Management (CIM). Documents and policy on the CIM concept. Included are issues which increase the DoD functional management efficiency, and standardization of business processes and data, reduction of duplication in systems, and standardization of functional requirements.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete.

103-03.3. Reserve Affairs Administrative - Program and Budget - Files. This file contains documents required to prepare and defend the Reserve forces on planning, programming, and budgeting, and includes quantitative and qualitative input to the FYPD defining the requirements to support the Reserve program, and reviews, analyses, and plans from which the budget figures are generated.

103-03.3.1. Planning Phase. Reviews and analyses documenting participation in Defense Guidance process.

103-03.3.2. Program Phase. Reviews and analyses documenting the overall management of RA's participation in the POM and Program Decision Memorandum process.

103-03.3.3. Budget Phase. Reviews and analyses for the overall management of RA's participation in the OSD budget review process.

103-03.3.4. Audits and Inspections. Documents on GAO and OIG audits and reviews.

Disposition: Destroy after 5 years or discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward into the current file.

103-06.1. Reserve Affairs Committees Files. Documents on establishing, operating, and dissolving committees that consider, advise, take action, and report on specifically assigned functions. They include joint, inter-Department, international committees. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; Directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving, appointing, and relieving committee members; notices, agenda, minutes, and reports of committee meetings and related documents. These are documents pertaining to those committees that OASD(RA) designates the chairman or secretariat or is the office of record. Reserve Forces Policy Board (RFPB). Charter, correspondence, membership roster, minutes, studies of policy issues of a multi-service nature resulting in recommendations for policy.

103-06.1.1. RFPB Annual Report. Annual report to Congress forwarded by the SECDEF and all correspondence leading up to and including the final report.

103-06.1.2. RFPB Membership/Alumni/Liaison Officer. Listing of members. Members are on the Board for a 3-year term. Term dates are all difference, so list is under constant revision. Alumni listing contains names of members who have left the Board; alumni are invited to quarterly meetings. Liaison officers points of contact between the Board and the Military Services.

103-06.1.3. RFPB Quarterly Meeting. Invitation letters, requests for active duty orders, thank-you letters, agendas, handouts used at meetings, executive summaries with recommendations, information regarding setting up meetings, and meeting books.

103-06.1.4. RFPB Field Studies. Correspondence regarding field studies made by the Board.

103-06.1.5. RFPB Issues Files. Issues the Board has discussed in its meetings and on which it has made recommendations. Also includes documentation on issues which affect the RCs.

Disposition: Permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cut off or when the committee is abolished. NOTE: Where committee minutes are transcribed from sound recordings, they may be erased when reduced to print.

103-06.2. Reserve Affairs Committee Files. These files contain documentation pertaining to committees that OASD(RA) does not appoint the chairman or secretariat.

103-06.2.1. RFPB General Information File. This file contains items of interest on a one-time basis such as letters from Reservists asking questions not really issues for the Board and information in general about RCs.

103-06.2.2. NCESGR General Information Files. This file contains correspondence with employees and commitments from employers to participate in the program; correspondence with industry and commitments from individuals concerned referrals and related papers.

103-06.2.3. Advisory Committee Activity. Documentation on general management and decision process concerning RCs within the Department of Defense.

103-06.2.4. Mobilization Steering Group. Documents concerning such mobilization issues as 200K call-up, civilian planning, casualty estimation, recruiting success, IRR screening, and attrition.

103-06.2.5. Medical Capability Evaluation Steering Group. Documentation on medical personnel requirements generation, DoD medical mobilization planning/execution process, and inspections of medical mobilization.

103-06.2.6. OSD Training Subcommittee. Documentation focused on the design of training strategies and technologies to the unique training needs of the RCs.

103-06.2.7. The National Reserve Forces Committee (NRFC) and the Confederation of Interallied Reserve Officers (CIOR). These meetings are hosted on a rotating basis and do not generate reports or advice or other documents of a permanent nature. These files consist of letters, memoranda, schedules, budgets, POCs one semiannual meetings, planning and budgeting documents for the U.S. hosting of the NRFC/CIOR Congress.

Disposition: Destroy when no longer needed for current operations.

103-07. Staff Visit Files. This file contains letters, rosters, POC lists on visits by foreign delegations to OASD(RA).

Disposition: Destroy when 5 years old, except files on recurring visits shall be destroyed on completion of the next visit.

103-08.3. Reference Paper Files. These files consist of technical and similar reproduced documents.

103-08.3.1. Defense Science Board. Documentation addressing several new research and development technological programs to keep a technological advantage.

103-08.3.2. Force Closure Files. Documentation on background information on the base realignment and closure commission establishment, DoD facility review process, and report approval and/or implementation steps.

103-08.3.3. Drug Program. Documentation on Guard and Reserve plans to support drug interdiction.

103-08.3.4. Force Mix. Documentation concerning potential force mix options and Total Force Policy notes on force mix issues.

103-08.3.5. Crisis Deterrence and Warfighting Capabilities. Contains Federal Emergency Management Agency (FEMA) Major Emergency Action Guidelist on interface with Reserve Affairs in fulfilling mutual national emergency preparedness responsibilities. Also, list of action officers for these emergency responsibilities.

103-08.3.6. Reserve Unit Priority System. Briefing information on a training and readiness model derived from existing databases and used to track status of resources.

Disposition: Destroy after 1 year. However, documents in the active file that require additional action or relate to reopened cases should be brought forward for filing in the current file. Earlier destruction is authorized.

202-46. Reserve Affairs Personnel Files

202-46.1. Individual Mobilization Augmentee Personnel (IMA) File. This file consists of papers on individual members of RA; IMA detachment, or weekend-drilling Reservists assigned to support OASD(RA) during times of crisis.

202-46.2. RA Attrition File. This file contains information on Directors of R&T, RA.

Disposition: Review annually and destroy superseded or obsolete documents or destroy 1 year after separation or transfer of the individual concerned.

SERIES 700

ASSISTANT SECRETARY OF DEFENSE (PUBLIC AFFAIRS) (ASD (PA))

700. PUBLIC AFFAIRS (NC1-330-77-12)

The Assistant to the Secretary of Defense for Public Affairs is responsible for public information and community relations. Unless otherwise indicated, permanent files described herein and retired to the WNRC shall be transferred to the National Archives when 30 years old.

701-01.- 701-08. Reserved (103., Common Mission Files).

701-09. Informational Services Record. This file contains certain records on information services performed by the Department of Defense offices in their day-to-day affairs and in their relations with the public. Except as otherwise specified in individual items, it applies to copies of these records wherever located in the Department of Defense. However, 701-09.2. and 701-09.6. are applicable only to files maintained in formally designated informational offices that have been assigned responsibility for the operation of the informational activities.

701-09.1. Complete set of formal informational releases and publications.

701-09.1.1. Press releases, press conference transcripts, graphic progress presentations, and indexes thereto.

Disposition: Permanent. Retire to the WNRC when 2 years old.

701-09.1.2. Official speeches with indexes.

Disposition: Permanent. Retire to the WNRC when 2 years old.

701-09.2 Request for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research. Requests for and transmittals of publications, photographs and other informational literature.

Disposition: Destroy when 3 months old or when no longer needed, whichever is sooner. GRS 14, Item 1

701-09.3. Acknowledgements and transmittals of inquiries and requests that have been referred elsewhere for reply.

Disposition: Destroy 3 months after acknowledgment and referral. GRS 14, Item 2

701-09.4. Daily press service teletype news.

Disposition: Destroy Defense-related items after 1 year, all other items after 1 month.

701-09.5. Informational services project case files maintained in formally designated informational offices.

Disposition: Destroy 1 year after close of file or 1 year after completion of project if method of filing differs from that suggested herein.

701-09.6. Anonymous letters, letters of commendation, complaints, criticisms suggestions, and replies thereto, excluding those resulting in investigations, administrative action, or those to be incorporated in individual personnel records.

Disposition: Destroy after 3 months.

701-09.7. Biographies.

Disposition: Permanent. Cut off and retire to the WNRC when superseded.

701-09.8. Records on the implementation of policies, criteria, and standards regarding the release of information to the press, radio, television, or other media whereby such release shall result in information reaching the public.

Disposition: a. Permanent. Retire record copies to the WNRC 2 years after annual cut off. b. Destroy all duplicate copies 6 months after annual file cut off unless part of a case file. c. Destroy all reproduced copies when policy standards or criteria are superseded or rescinded.

701-09.9. Records on the planning, preparation, coordination, and issuance of publications issued as an official DoD position.

Disposition: Permanent. Retire record copies to the WNRC of material used in and for the development of official public releases, including coordination and distribution records 1 year after file cut off for permanent preservation.

701-10. Visual Information Records and Files

701-10.1. Audiovisual productions. Audiovisual productions are self-contained complete groups of moving images (either with or without sound) with continuity that are developed according to a plan or script for either directly or interactively conveying information to or communicating with an audience. Thus, audiovisual productions may include scripted motion pictures, television broadcasts, informational and/or training videos, entertainment and/or music videos, interactive videos, spot announcements, and advertisements. The record elements of such productions are the following:

For film: the original negative or color original plus a separate optical sound track, an intermediate master positive or duplicate negative plus sound track, and a projection print.

For video: the camera original or master plus a dub.

For interactive video (whether analog or digital): the original film or video segments, photographs, graphics, and sound recordings from which the video scenes were compiled; the software and related documentation necessary to run the program; the finished disc master.

The following categories of audiovisual productions are covered by the disposition instructions that follow thereafter:

701-10.1.1. OSD-sponsored productions intended for OSD-wide, DoD-wide, or public distribution.

701-10.1.2. Productions produced for or by the OSD that are intended for internal staff use.

701-10.1.3. Productions acquired from outside the Department of Defense that either:

701-10.1.3.1. Provide information concerning the organization, functions, policies, procedures, operations, and essential activities of the Department of Defense or a DoD Component thereof.

701-10.1.3.2. Depict or convey information about current or historical events involving the Department of Defense.

701-10.1.3.3. Communicate information or instructions concerning the operation, maintenance, construction, design, repair, use of, capabilities of, or tactical implications of weapons, equipment, or technologies that are unique to, used in a unique manner by, or used primarily by either the U.S. Military, foreign armed forces, or anti-U.S. non-governmental armed organizations.

701-10.1.4. Unedited outtakes and trims, the discards of the production process, which have been appropriately arranged, labeled, and described.

Disposition: Permanent. Transfer to the DoD Motion Media Records Center when 5 years old or no longer needed for administrative use, whichever is sooner. Transfer to NARA no later than 3 years after a currency review determines the production to be "obsolete."

701-10.1.5. Productions acquired for purposes of entertainment or recreation.

Disposition: Dispose of when no longer needed in accordance with any applicable governing contractual provisions.

701-10.1.6. Production materials that are not described in Item 701-10.1.1. through 701-10.1.5. of this section.

Disposition: Dispose of when no longer needed.

701-10.2. Video and film documentation imagery. Documentation imagery is the live recording of events, activities, people, places, things, or phenomena. Such imagery portray scenes that are characteristically not staged or controlled by the camera operators and depict events as they are actually occurring. The record elements consist of the camera original, edited master, or earliest generation or film copy of a video original, plus a dub.

701-10.2.1. Imagery recording any of the following (pending approval):

701-10.2.1.1. Actions, operations, activities, and transactions of the Department of Defense.

701-10.2.1.2. Events or ceremonies involving the Department of Defense, or its military or civilian personnel.

701-10.2.1.3. DoD weaponry, equipment, vehicles, aircraft, ships, buildings, sites, facilities, or parts thereof.

701-10.2.1.4. Persons, places, things, or phenomena that are related to past, present, or anticipated future DoD actions or operations.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

701-10.2.2. Imagery transferred by electronic or visual processes to film for purposes of archival preservation (pending approval).

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

701-10.2.3. Off-air or off-satellite transmission recordings of video described in 701-10.2.1. (pending approval)

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

701-10.2.4. Imagery included as part of a project file, case file, report, or similar type of record.

Disposition: Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.

701-10.2.5. Imagery not described in 701-10.2.1. through 701-10.2.4., above.

Disposition: Destroy when no longer needed for administrative use.

701-10.3. Sound Recording Files. Sound recordings on tape or disc that are:

701-10.3.1. Audio productions. Audio productions are self-contained sets of sounds with continuity that are developed according to a plan or script for conveying information, music, or sounds to or communicating with an audience. Thus, audio productions can include scripted radio broadcasts, recorded music, recorded sound effects designed to induce relaxation or a particular emotional reaction, spot announcements, and audio tapes related to a slide and/or tape set. The record elements consists of the master tape and either a disc pressing (if a mass-produced disc recording) or an audio tape dub. The following categories of Audio productions are covered by the disposition instructions that follow thereafter:

701-10.3.1.1. Audio productions intended for broadcasting or training that are:

701-10.3.1.1.1. OSD-sponsored productions intended for OSD-wide, DoD-wide, or public distribution.

701-10.3.1.1.2. Productions produced for or by the OSD that are intended for internal staff use.

701-10.3.1.1.3. Productions acquired from outside the Department of Defense that either:

701-10.3.1.1.3.1. Provide information concerning the organization, functions, policies, procedures, operations, and essential activities of the Department of Defense or a DoD Component thereof.

701-10.3.1.1.3.2. Convey information about current or historical events involving the Department of Defense.

701-10.3.1.1.3.3. Communicate information or instructions concerning the operation, maintenance, construction, design, repair, use of, capabilities of, or tactical implications of weapons, equipment, or technologies that are unique to, used in a unique manner by, or used primarily by either the U.S. Military, foreign armed

forces, or anti-U.S. non-governmental armed organizations.

Disposition: Permanent. Transfer to the National Archives when no longer needed for administrative use or when 5 years old, whichever is sooner.

701-10.3.1.2. All other audio productions, including recorded music, sound effects, and productions acquired by AFRTS and other DoD Components for purposes of entertainment or recreation.

Disposition: Dispose of when no longer needed in accordance with any applicable governing contractual provisions.

701-10.3.2. Audio documentation. Live audio recordings of events, activities, people, or phenomena. Such recordings contain sounds and words that are characteristically not staged or controlled by those operating the recording devices and depict events as they are actually occurring. The record elements consist of the original recording or earliest generation copy plus a dub.

701-10.3.2.1. Audio recordings of an event, speech, conference, ceremony, or activity that is either historically significant, attracts civilian media attention, or involves flag rank officers or high-level DoD officials.

Disposition: Permanent. Transfer to the National Archives when no longer needed for administrative use or when 5 years old, whichever is sooner.

701-10.3.2.2. Documentation recordings not described above.

Disposition: Dispose of when no longer needed.

701-10.4. Still Picture Files. Still photographs, slide sets, filmstrips, posters, original artwork, analog still video, digital still video, and digital images. The record elements of such still pictures are the following: For black and white photographs: the original negative and a captioned print.

For color photographs: The original negative and a captioned print. For color transparencies, slides, or filmstrips: the original color transparency, an inter-negative if one exists, and a dupe copy. For other still pictorial records: the original and a reference copy. The following categories of Still picture files are covered by the disposition instructions that follow thereafter:

701-10.4.1. Images depicting any of the following (pending approval):

701-10.4.1.1. Actions, operations, activities, and transactions of the Department of Defense.

701-10.4.1.2. Events or ceremonies involving the Department of Defense, or its military or civilian personnel.

701-10.4.1.3. DoD weaponry, equipment, vehicles, aircraft, ships, buildings, sites, facilities, or parts thereof.

701-10.4.1.4. Persons, places, things, or phenomena that are related to past, present, or anticipated future DoD actions or operations.

Disposition: Refer to the Audiovisual Records Decision Logic Table for appropriate disposition instructions on individual photographs or images prior to their incorporation into the Still Picture File.

701-10.4.2. Images or photographs included as part of a project file, case file, report, or a similar type of record.

Disposition: Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.

701-10.4.3. Photographic print, optical disc, or slide files (but not including record element materials) containing photographs, images, or slides that are used for internal reference purposes or are approved by senior DoD officials for public or media release.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

701-10.4.4. Off-air, off-satellite, or off-wire recording of a still image.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

701-10.4.5. Electrochrome or film copy of an image originally recorded in still video (pending approval).

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

701-10.4.6. Images and photographs not described in Items 701-10.4.1. through 701-10.4.5. of this section.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

701-10.5. Audiovisual Documentation Files. Finding aids (including captions) and other files relating to audiovisual and visual information records.

701-10.5.1. Finding aids consisting of any of the following: shelf lists, caption cards, data sheets, indexes, or other documentation in a textual, or machine-readable form that is necessary or helpful in properly identifying, retrieving, or using audiovisual or visual information records. (The record copies of the finding aids and/or caption data for DoD imagery accessioned into the DoD Still Media Records Center and the DoD Motion Media Records Centers (the official DoD repositories for such records) are stored in the ImageBank and MediaBank database systems respectively.) For caption information received by or retained at the DoD Joint Combat Camera Center (JCCC), 706-08. and 706-09.

Disposition: Dispose of in accordance with instructions covering the related audiovisual records.

701-10.5.2. Production files or similar files that include production contracts, scripts, treatments, transcripts, and other documentation bearing on the origin, acquisition, public release, and ownership of the production.

701-10.5.2.1. Files maintained by the Production Activity or the DoD Motion Media Records Center.

Disposition: Transfer to the DoD Motion Media Records Center when the related production is sent to that facility. Dispose of in accordance with the NARA instructions covering the related audiovisual records.

701-10.5.2.2. Files maintained elsewhere (pending approval).

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

702. COMMUNITY RELATIONS AND OUTREACH

702-01. General

702-01.1. (formerly 702-01.2) Policies and procedures governing Armed Forces participation in public events. These prescribe the circumstances under which it is permissible to use bands, marching units, displays, color guards, ships, aircraft, or other Armed Forces resources in activities sponsored or hosted by organizations other than the Department of Defense.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete as appropriate for policy documents maintained in accordance with files series 103-01.

702-01.2. (formerly 702-01.1.) Policies and procedures for organizing and coordinating all Armed Forces participation in periodic centennial programs and activities on observance of the founding of the nation.

Disposition: Permanent. Retire to the WNRC when 2 years old.

702-01.3. Documents pertaining to requests for Secretary of Defense participation in public events when the Secretary accepts the invitation.

Disposition: Permanent. Retire basic invitation and scheduling documentation to WNRC when 5 years old, or at a later date if the documentation provides a reference source within the office.

702-01.4. Documents pertaining to requests for Secretary of Defense participation in public events when the Secretary declines the invitation.

Disposition: Temporary. Retire basic invitation within the office until 1 year from the anniversary of the date of the declined event. Upon the anniversary date of the declined event, all documentation may be discarded, unless the documentation provides a reference source for use within the office.

702-01.5. Policies and procedures governing Armed Forces participation in the Joint Civilian Orientation Conferences and other OSD-hosted conferences

Disposition: Permanent. Retire to the WNRC when 5 years old.

702-01.6. Documents on planning and carrying out Joint Civilian Orientation Conferences and other OSD-sponsored conferences. Documents include (but are not limited to) invitations, budget and transportation and/or TDY requests, briefings, tours, etc.)

Disposition: Permanent. Retire to the WNRC when 5 years old.

702-01.7. Statistics and similar after-action report documents detailing the backgrounds of the civilian participants, installations visited, and agendas arranged at each installation.

Disposition: Permanent. Retire to the WNRC when 5 years old.

702-01.8. Correspondence on arranging Pentagon tours for civilian groups.

Disposition: Destroy after 3 years.

702-01.9. Correspondence on arranging military displays, color guards, bands, ceremonial units, and similar support for public events.

Disposition: Destroy after 1 year after cut off. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

702-01.10. Documents on arrangements for speakers to participate in public events.

Disposition: Destroy on cut off.

702-01.11. Correspondence and documents on military participation in Armed Forces Day observances.

Disposition: Destroy after 3 years.

702-01.12. Correspondence and documents on military participation in Veterans Day observances.

Disposition. Destroy after 3 years.

702-01.13. Correspondence on Standards of Conduct determinations related to events hosted by business, professional, veterans, and similar associations in which the Department of Defense is invited to participate.

Disposition: Destroy after 3 years.

702-01.14. Correspondence with national business, professional, veterans, and similar organizations.

Disposition. Destroy after 3 years.

702-01.15. Documentation on DoD cooperation with producers of commercial entertainment media (e.g. motion picture films, television, and theatrical).

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

703. DEFENSE INFORMATION

703-01. Media Travel.

703-01.1. Policy on authority for members of the press to travel on DoD-furnished transportation to military establishments worldwide.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded. Transfer to the National Archives after 5 years.

703-01.2. Individual accreditation and clearances for media.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

703-02. Research and Distribution. Research support to provide background and current data on issues of interest.

Disposition: Destroy when 3 years old.

703-03. News Division.

703-03.1. Coordination, implementation and reviews of news media aspects of the Public Information program to ensure maximum public understanding of policies, objectives, and functions.

Disposition: Permanent. Retire to the WNRC when superseded.

703-03.2. Development and implementation of news service policy.

Disposition: Permanent. Retire to the WNRC when superseded.

703-03.3. Release of official unclassified news relative to DoD activities.

Disposition: News releases are permanent. Retire to the WNRC when 5 years old.

703-03.4. Management procedures of Armed Forces News, Defense Women's News, and Defense News.

Disposition: Record copy of each periodical is permanent. Retire to the WNRC when 5 years old.

703-04. Audiovisual Division (NC1-330-81-1).

703-04.1. Public affairs audiovisual policy.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded. Transfer to the National Archives 20 years later.

703-04.2. Documentation on the DoD participation in National Press Photographers Association education and training events and competition.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 10 years old.

703-04.3. Indexes of still and motion pictures cleared for public release.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 10 years old.

703-04.4. Documentation on OASD (PA)-initiated in-service film production.

Disposition: Permanent. Retire to the WNRC and transfer to the National Archives when 20 years old.

703-04.5. Documentation on DoD cooperation with civilian producers in the production of TV, theatrical, and industrial motion picture films.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 20 years old.

703-04.6. Ready-access still and motion picture duplicate photography for media handout.

Disposition: Destroy when obsolete or no longer needed.

703-04.7. Files on the Department of Defense participation in film festivals.

Disposition: Destroy when obsolete or no longer needed.

704. FREEDOM OF INFORMATION SECURITY REVIEW, MANDATORY DECLASSIFICATION REVIEW, AND PRIVACY ACT (NC1-330-79-8)

704-01. Security Review

704-01.1. Security Review Initial Files. Security review of information from within the Department of Defense or outside sources intended for dissemination through any media of public release to ensure that it is not inimical to national defense, or in conflict with established policies or programs. Records relate to staffing comments on approval or disapproval of material prepared for public release, including material establishing policies, standards, and criteria for clearance of material, excluding records intended for clearance.

Disposition: Destroy when 15 years old; retire to the FRC when 2 years old. NC1-330-79-8.

704-01.2. Copies of cleared records.

Disposition: Destroy with the case files.

704-01.3. Security Review Appeals Files. Files consisting of the appellant's letter of appellant's letter of appeal, a copy of the reply letter sent to the requester, and records that support the appellant decision, excluding the records subject to the appeal

Disposition: Destroy 2 years after clearance without amendment; destroy 6 years after record was cleared with amendment, or denied clearance.

704-01.4. Copies of appealed records.

Disposition: Destroy records with case files.

704-01.5. Security Review Instructional Files. Documents on preparing coordinating, issuing, and interpreting directives, regulatory instructions and comparable instructions and comparable instructional material.

Disposition: Permanent. Cut off annually or when superseded or obsolete, as reference needs require. Retire to the WNRC 5 years after cut off. 102-03.

704-02. Freedom of Information Act.

704-02.1. Freedom of Information Act (FOIA) Initial Requests Files. Files consisting of the original request, a copy of the reply letter sent to the requestor, and documents that support the determination, excluding the records subject to the request.

Disposition: Destroy 2 years after date of reply if all records subject to the request were released; destroy 6 years after date of reply if records subject to the request were denied in full, or in part, or if not released for any other reason. GRS 14, Item 11

704-02.2. FOIA Appeals Files. Files consisting of the appellant's letter of appeal, a copy of the reply letter sent to the requester, and documents that support the determination, excluding the records subject to the request.

Disposition: Destroy 6 years after date of DoD final reply. GRS 14, Item 12

704-02.3. Copies of appealed records.

Disposition: Destroy records with case file.

704-02.4. Annual FOIA Report. Annual FOIA report is required by the statute. (5 U.S.C. 552).

Disposition: Retire record copy to the WNRC 2 years after annual cutoff. Retain sufficient copies from all years to fulfill public requests. GRS 14, Item 14

704-02.5. FOIA Litigation. All records, including correspondence and copies of records responsive to FOIA request, that pertain to a lawsuit filed by the FOIA requester.

Disposition: Notwithstanding any other provision in this Instruction, records must be retained pending a final decision by the courts, including all appeals. Destroy when no longer needed.

704-02.6. FOIA Policy Files. Memoranda and other correspondence announcing FOIA policy for the Department of Defense, which are used in the implementation of the DoD FOIA program.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete. 103-01.

704-02.7. FOIA Instruction Files. Documents on preparing, coordinating, issuing, and interpreting directives, regulatory instructions and comparable instructional material.

Disposition: Permanent. Cut off annually or when superseded or obsolete, as reference needs require. Retire to the WNRC 5 years after cut off. 103-02.

704-03. Privacy Act Requests Files. Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

704-03.1. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

704-03.1.1. Granting access to all the requested records.

Disposition. Destroy 2 years after date of reply.

704-03.1.2. Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

Disposition. a. Requests not appealed; destroy 2 years after date of reply. b. Requests appealed; destroy as authorized under Item 22.

704-03.1.3. Denying access to all or part of the records requested.

Disposition. a. Requests not appealed; destroy 5 years after date of reply. b. Requests appealed; destroy as authorized under Item 22.

704-03.2. Official file copy of requested records.

Disposition. Dispose of in accordance with approved agency disposition instructions for the related records or with the related Privacy Act request, whichever is later.

704-04. Mandatory Declassification Review (MDR)

704-04.1. MDR Files. Files created in response to requests from individuals or government agencies for the mandatory review of classified records for the purposes of releasing declassified material to the public, as provided for under Executive Order 12356. Files contain original requests, a copy of the reply to the requester, and all related documentation supporting the decision to release or deny the records, including the records requested.

Disposition: Destroy 2 years after date of reply if records were declassified; destroy 5 years after date of final reply if records were denied in whole or in part. GRS 14, Item 31(a) (1) and Item 31(a)(3)(a).

704-04.2. Copies of requested records.

Disposition: Destroy records with case file.

704-04.3. MDR Appeal Files. Files consisting of the appellant's letter of appeal, a copy of the reply letter to the requester, and records that support the appellant decision, excluding records subject to the appeal.

Disposition: Destroy 4 years after final determination by agency. GRS 14 Item 32a.

a. Copy of records appealed.

Disposition: Destroy with case file.

704-04.4. MDR Report Files. Reports relating to agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including annual reports submitted to the Information Security Oversight Office.

Disposition: Destroy when 2 years old. GRS 14, Item 34

704-05. Automated Files.

704-05.1. An automated data bank of retrievable information on cases that includes requester's name, data requested or proposed for public release, costs, if any, action component and/or action officer, abstracts, release determinations, etc., recorded in electronic form.

Disposition: Destroy when no longer required for reference purposes.

704-06. Privacy Act Amendment Case Files. Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the

individual's request to amend a record as provided for under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

704-06.1. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.

704-06.2. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.

704-06.3. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

Disposition: Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

704-07. Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.

704-08. Privacy Act Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

704-08.1. Registers or listings.

Disposition: Destroy 5 years after date of last entry.

704-08.2. Other files.

Disposition: Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.

704-09. Privacy Act Reports Files. Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels.

Disposition: Destroy when 2 years old.

704-10. Privacy Act General Administrative Files. Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Disposition: Destroy when 2 years old

705. AMERICAN FORCES INFORMATION SERVICE (AFIS)

705-01. AFIS Administration.

705-01.1. Hard copy output from data banks storing information on the AFIS budget, DoD periodicals inventory, and inventory of audiovisual inventions. The data banks are not used for regular reporting cycles. Hardcopy output is generated to respond to specific inquiries.

Disposition: Destroy when purpose has been completed.

705-01.2. Temporary non-record material on assigned personnel, office procedures, and other administrative matters.

Disposition: Destroy material on personnel when individuals are reassigned. Destroy other material 1 year after cut off.

705-01.3. Joint Service Motion Picture Files. Contain policy on acquisition, distribution, and care of the films.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded.

705-02. American Forces Radio and Television Services (AFRTS) (NC1-330-81-1).

705-02.1. Policies and procedures, describing program, authorizing frequency, signal strength, manning, location, etc.

Disposition: Permanent. Retire to the WNRC when superseded.

705-02.2. Liaison with unions and industry on the use of music agreements, etc.

Disposition: 701-04.

705-02.3. Coordination with State Department and United States Information Agency on arrangements in foreign countries.

Disposition: 701-04.

705-02.4. Documents arranging for lease or purchase of film from industry and the creation of film for this purpose.

Disposition: Record copy is with procurement office. Destroy non-record copy when lease or purchase is completed.

705-02.5. Command Information and DoD new products for use by AFRTS outlets.

Disposition: Not later than July 1st of each year. HQ American Forces Radio and Television Service/Radio and Television Production Office/News Center (AFRTS/RTPO/News Center) shall deliver to the NARA one Beta-SP video cassette containing approximately twenty-five television announcements and news products and one CD-ROM disk containing about fifteen radio and news products, each typical of those added to the inventory during the previous calendar year. Remaining program material shall be destroyed when obsolete or no longer needed.

705-03. American Forces Press Service (NC1-330-81-1).

705-03.1. Daily press service teletype News.

Disposition: Destroy after 3 months. GRS 14, Item 3.

705-04. Current News Service (N1-330-92-3). Creates copies of the Current News, Supplemental Clips, and Radio-TV Defense Dialog.

Disposition: Permanent. Cut off when 1 year old. Retire to the WNRC after 5 years; transfer to National Archives when 25 years old.

705-05. RESERVED

705-06. American Forces Training Directorate (AFIS-TD)

705-06.1. Policy planning and program implementation files relating to the development of public affairs and visual information training for the military services.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

705-06.2. Files relating to the development of policy for the Stars and Stripes newspapers.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

705-06.3. Information guidance. Documents describing policy and providing guidance on use of internal information materials pursuant to DoD Instruction 5120.4.

Disposition: Permanent. Retire to the WNRC when obsolete or no longer needed.

705-07. Defense Information School.

705-07.1. Thomas Jefferson Awards Competition Files. Historical documents relating to policy and procedures, award nominations, categories, and recipients.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

706. AUDIOVISUAL (AV) AND VISUAL INFORMATION (VI) MANAGEMENT POLICY (NC1-330-79-6)

706-01. Implementation Files. Records relating to the initiation, development, and implementation of policies, guidelines, and standards for audiovisual and visual information management.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Transfer to the National Archives when 15 years old.

706-02. VI Production Acquisition Files. Documents relating to requirements, approval, acquisition, utilization, and disposition of audiovisual and visual information products and productions.

Disposition: Retire to the WNRC when 5 years old. Destroy when 10 years old. Documents relating to requirements, approval, acquisition, and utilization that are not currently in the VI production folder should be transfer to that folder prior to destruction.

706-03. AV Management Oversight Files. Records relating to management oversight of the Department of Defense audiovisual and visual information activities.

Disposition: Retire to the WNRC when 5 years old. Destroy when 10 years old.

706-04. AV Resources Files. Records relating to audiovisual and visual information resources: equipment and facility reports; standards; authorization, consolidation, and elimination documents.

Disposition: Retire to the WNRC when 5 years old. Destroy when 10 years old.

706-05. RESERVED

706-06. Defense Automated Visual Information System (DAVIS) Databases. The D201 database contains descriptive information about individual productions that are produced, acquired, or proposed by the Department of Defense or its Component Services and Agencies. The D202/D203 databases contain descriptive data about audiovisual production and other facilities. The D207 database contains a thesaurus that is used in data input into D201.

706-06.1. Machine-readable database records.

Disposition: Maintain until this office no longer has the mandated requirement to maintain the DAVIS. At that time, offer the R81 (Records transferred to NARA) and R91 (Records destroyed or Otherwise Disposed of) files to NARA. Data in other files may be destroyed when no longer needed since any data of value shall have been incorporated by NARA into their D260 or a successor file.

706-06.2. Paper input documents (such as the completed DD Form 2054s and DD Form 1995s) not incorporated into other files.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

706-07. Caption Data Records. DD Form 2537 "Visual Information Caption Sheet" and other caption data records received from the field (in either paper or electronic form), or created by the DoD Joint Combat Camera Center (JCCC) to describe edited COMCAM extracts or compilation videos created within the DoD JCCC. 701-10.5.1.

Disposition: Follow the disposition instructions applicable to the imagery to which the caption data relates. For imagery accessioned into the Defense Visual Information Center caption data and related documentation shall become part of the record master material. As part of the record master, this material is subject to the NARA offer and disposition rules.

706-08. Removed.

706-09. Removed.

706-10. Military Photographer of the Year Competition Files

706-10.1. Administrative correspondence and documents relating to location, award categories, judges, and notification of winners.

706-10.2. Historical documents relating to policy and procedures, award nominations, categories, and recipients.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

706-11. Military Graphic Artist of the Year

706-11.1. Administrative correspondence and documents relating to location, award categories, judges, and notification of winners.

706-11.2. Historical documents relating to policy and procedures, award nominations, categories, and recipients.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

706-12. Distribution Folders. Address lists, correspondence, and other documents relating to the initial and subsequent distribution of VI productions and products.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

706-13. Audiovisual Distribution Files. Records relating to distribution of DoD audiovisual and visual information products; receiving reports, inspection reports, basis of issue plan, computer generated pick list, distribution summary worksheets, and copies of records from original project folder.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

707. PUBLIC AFFAIRS PLANNING AND GUIDANCE FILES (N1-330-90-1)

707-01. Military Exercise Public Affairs Plans and Files. Documents on the coordination and approval of proposed public affairs guidance and plans concerning military exercises hosted by Combatant Commands. Documents include the proposed plan and or guidance, correspondence, and notes created during the coordination process, and the final approved plan or guidance.

Disposition: a. Annual Exercises - Public Affairs plans and guidance for exercises held annually: cut off annually; destroy after 1 year. b. Bi-annual Exercises - Public Affairs plans and guidance for exercises held bi-annually: Cut off at the end of the year in which exercise is held; destroy after 2 years. c. Irregularly Scheduled Exercises - plans and

guidance for exercises that are held on a one-time basis or at irregular intervals: cut off annually; destroy after 5 years.

707-02. Military Contingency Operations Public Affairs Plans and Guidance Files. Documents on the coordination and approval of public affairs plans and guidance concerning U.S. military contingency actions and operations. Included would be documents relating to counter-terrorism, the military role in drug interdiction operations, and deployments of U.S. Military Forces to a foreign theater in response to a pronounced threat to U.S. personnel, property, or interests, and U.S. military participation in international disaster relief operations.

Disposition: Permanent. Cut off upon completion or cancellation of the operation; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

707-03. OSD Publication PA Plans Files. Public affairs plans developed by the Plans Directorate for release of OSD publications. Included in this category are the public release of Soviet Military Power, and other recurring or one-time publications.

Disposition: Permanent. Cut off annually; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

707-04. DoD National Media Pool Files. Contains documents on the operation of the DoD National Media Pool.

707-04.1. Policy Files. Files that establish policy for operation of the media pool. Included are policies governing composition of the pool, quarterly rotation policies, media ground rules, and associated policies.

707-04.2. Studies. Copies of academic or management studies performed by or on behalf of the Department of Defense by individuals or organizations concerning the application of the media pool concept, military/media relations, and other aspects of the DoD media pool that are singled out for in-depth study.

Disposition: Permanent. Cut off when superseded, obsolete, or when no longer needed for reference; retire to the WNRC after 2 years; transfer to the National Archives after 25 years.

707-04.3. Quarterly Rotation Files. Documents indicating the Agencies/organizations to be represented on quarterly media pools.

707-04.4. Bureau Chiefs Meeting Files. Files created in support or as a result of quarterly meetings of the bureau chiefs. Included are requests for administrative and logistical support, a copy of the principal's meeting book, and related documents.

707-04.5. Deployment Files. Documents created during a deployment of the media pool. Included are documents completed by members of the media who deploy as part of the pool, travel orders, passenger manifests, documents created during the pre-

deployment alert notification and coordination of the pool deployment, and other related documents.

Disposition: Permanent. Cut off annually; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

707-05. Exercise Participation Public Affairs Files. Documents created as a result of the public affairs portion of exercises in which OASD (PA) participates in a "player" role. Included are exercise scenarios, exercise public affairs plans and guidance, and after-action reports.

Disposition: Permanent. Cut off annually; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

707-06. Long-Range PA Planning Files. Copies of long-range PA plans and objectives, coordinating documents, and periodic review of the plans; other documents that develop plans, programs, and themes of the DoD PA activities.

Disposition: Permanent. Cut off when superseded, obsolete, or completion of the plan or program; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

707-07. Wartime Public Affairs Planning Files. Documents on development of plans for providing public affairs support during wartime. Included are studies and other documents concerning electronic information gathering and transmission, wartime information security program, correspondent accreditation, and other documents on public affairs programs in a combat environment.

Disposition: Permanent. Cut off annually, or when superseded or obsolete; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

707-08. Public Affairs Special Project Files. Documents on special, one-time projects assigned to the Plans Directorate.

Disposition: Cut off when superseded, obsolete, or completion of project. Destroy after 5 years.

708. SECDEF'S AND DEPSECDEF'S MEDIA AND TRIP FILES (N1-330-993-3)

708-01. SecDef's and DepSecDef's Media and Trip Files. Documents including invitations and correspondence to and from the Secretary and Deputy Secretary of Defense concerning U.S. and foreign media interviews, public speeches, installation visits, and other events related to SecDef and/or DepSecDef travel. Individual files for each media, speech, or trip event include SecDef and/or DepSecDef, ASD (PA) guidance, geographic, legislative and military program issue papers, coordination memoranda, after-action reports, and various working documents supporting an overall approved

event card or trip itinerary.

Disposition: Cut off upon change of SecDef. Retire to the WNRC when no longer needed for reference or 10 years after cut off, whichever is sooner. Transfer to National Archives when 25 years old.

SERIES 800

ASSISTANT SECRETARY OF DEFENSE (INTERNATIONAL SECURITY AFFAIRS) (ASD(ISA))

800. INTERNATIONAL SECURITY AFFAIRS (NC1-330-77-1)

General (NC1-330-77-1). Under Secretary of Defense (Policy) (USD(P)) in the OSD performs the following functions:

800.01. Monitors DoD participation in the National Security Council (NSC) and initiates appropriate action in DoD implementing NSC's approved policies.

800.02. Develops and coordinates Defense positions, policies, plans, and procedures in the fields of international political and/or military and foreign economic affairs.

800.03. Identifies the national security objectives of the United States; studies the world situation and emerging problems of major significance of the security of the United States, analyzing the range of possible political and/or military actions for dealing with the solution.

800.04. Develops plans and other documents used to organize and monitor the activities of the Military Assistance Advisory Groups.

Unless otherwise noted, all 800 files designated for permanent retention shall be transferred to the National Archives when 30 years old.

801. RESERVED (103., Common Mission Files.)

801-04. Agreements File (NC1-330-77-1).

801-04.1. See 103-04.

801-04.2. 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.

Disposition: Permanent. Cut off 1 year after conclusion of negotiations on the agreement and retire to WNRC. Transfer to NARA 30 years after cut off.

802. STAFF OFFICES

802-01. Treaty Obligations. Copies of documents containing military commitments and treaty obligations, interpretations, comments or proposals.

Disposition: Permanent. Cut off and retire to WNRC 2 years after the commitment or treaty is concluded, or the proposal for such a treaty or commitment has been rendered. Transfer to NARA 30 years after cut off.

802-02. Overseas Travel Clearance.

802-02.1. Policy on obtaining clearance to officially visit overseas areas.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

802-02.2. Specific requests, clearances, and briefing data.

Disposition: Destroy upon completion of travel or after 90 days, whichever is later (NI-330-93-2).

802-03. Foreign Military Rights Affairs. 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 3 years old or files become inactive, whichever is sooner. Retire to WNRC at cut off. Transfer to NARA 30 years after cut off.

803. SECURITY ASSISTANCE

803-01. Policy, Plans, and Program Formulation. Documents that:

803-01.1. Formulate DoD Security Assistance programs, including policies, plans, and priorities.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

803-01.2. Provide input to DoD planning, programming, and budget systems for security assistance. This would include expenditures and receipts for sale of defense articles, planned operating expenses, etc.

Disposition: Destroy 3 years after end of fiscal year.

803-01.3. Establish DoD position on eligibility of foreign governments and international organizations for security assistance.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

803-01.4. Directs and monitor the Military Assistance Advisory Groups (MAAGs) and representatives. Includes the Military Assistance and Sales Manual.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

803-01.5. Direct the Congressional Presentation Document.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

803-01.6. Provide policy guidance on the sale of defense articles and services.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

804. EUROPEAN AND NATO AFFAIRS

804-01. European Region Files. 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. Retire to the WNRC 5 years after canceled or superseded.

805. POLICY AND PLANS

805-01. Policy, Plans, and National Security Council Affairs. Analyses and planning documents affecting U.S. national security and defense posture; studies of current and emerging international politics and military issues; evaluations of politics and 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. Policy, plans, procedures, and directives, retire to the WNRC 5 years after canceled or superseded; analyses, evaluations, and studies, retire to the WNRC 5 years after superseded.

805-02. Mutual Balance of Forces Reduction (MBFR) Task Force. Analyses, plans, and DoD positions on any MBFR talks or negotiations.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

805-03. Law of the Sea. DoD policy matters on Law of the Sea and aspects of territorial waters, navigation, fishing, seabed, research, marine pollution, and relations with the U.N. Law of the Sea conferences.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

806. EAST ASIAN AND PACIFIC AFFAIRS

806-01. East Asian and Pacific Region. Policy matters of Defense interest on countries of the East Asian and Pacific Region (except the Union of Soviet Socialist Republics).

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

807. NEAR EASTERN, AFRICAN, AND SOUTH ASIAN AFFAIRS

807-01. Near East and South Asia. 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. Retire to the WNRC 5 years after superseded.

807-02. Africa Region. Policy matters of Defense interest on countries of Africa and the Malagasy Republic (except the United Arab Republic).

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

808. INTERNATIONAL ECONOMIC AFFAIRS

808-01. International Economic Affairs. Documents on foreign economic implications of currently approved, new or alternative programs of force structures, weapons systems, and other military capabilities.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

808-02. Strategic Trade and Disclosure. 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. Retire to the WNRC 5 years after superseded.

808-03. Prisoner of War and/or Missing in Action Affairs. 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. Retire to the WNRC 5 years after superseded.

808-04. Committee on Foreign Investment in the United States (CFIUS) Case Files. 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: Cut off when case is closed or no longer needed for current business; hold in the current files for 3 years and retire to WNRC; destroy when 10 years except that materials of no substantive value such as annual reports submitted by companies, may be destroyed when no longer needed, as is authorized for reference paper documents maintained under the provisions of series 103-08.3.

808-05. US Exports System (USXPORTS) Files. 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: Destroy/Delete electronic case file data 75 years after review or when no longer needed for conducting business, as determined by licensing director. (N1-330-06-1).

809. SALT TASK FORCE/STRATEGIC ARMS LIMITATION TREATIES (START) TREATY FILES

Advice formulation and coordination of policy for the Department of Defense concerning the Strategic Arms Limitation Treaties I and II, and the START treaty.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

810. ELECTRONIC INFORMATION SYSTEM (EIS) FILES

810-01. International Balance of Payment (Military Assistance Program (MAP) (ISA)). A machine-readable file created by the Defense Security Cooperation Agency (DSCA) to provide data for research and referral. It also serves as input to the Office of the C, DoD Master International Balance of Payments file, which has a different disposal schedule (NC1-330-78-5).

810-01.1. Master IT File.

Disposition: Retain until no longer required for reference.

810-01.2. Input to Master File.

Disposition: Scratch when 9 months old.

810-02. Foreign Military Sales (FMS) (DSCA) (AR)1100. A machine-readable cumulative record of FMS recording information on valid country requests, execution of accepted cases, delivery forecasts, and actual deliveries.

810-02.1. Master File.

810-02.1.1. Case Report System.

Disposition: Permanent. Transfer to the National Archives when no longer required for reference.

810-02.1.2. Item Detail Tape.

Disposition: Permanent. Transfer to the National Archives when no longer required for reference.

810-02.1.3. Master FMS Record; FMS Delivery File and Financial Tape.

Disposition: Scratch when 6 years old or no longer required for reference, whichever is later.

810-02.2. Quarterly File.

Disposition: Scratch when 6 years old or no longer required for reference, whichever is later.

810-02.3. Weekly Report.

Disposition: Scratch when 90 days old.

810-02.4. Hard Copy Output. Journals, facts, congressional presentations.

Disposition: Retire one copy annually for permanent preservation. Transfer to the National Archives when 25 years old.

810-03. Military Assistance Program (MAP (DSCA) (AR)1000. This is a machine-readable record, tape resident, recording MAP deliveries in material or services for participating countries.

810-03.1. Master Program and/or Delivery Tape.

Disposition: Permanent. Make available to the NARA when no longer required for reference.

810-03.2. MAP Delivery Summary File and CPD Summary File reference, whichever is later.

Disposition: Temporary. Scratch when 5 years old or no longer required.

810-03.3. Quarterly File.

Disposition: Temporary. Scratch when 5 years old or no longer required for reference, whichever is later.

810-04. Foreign Disclosure System (FDS) Master File. 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; transfer copy of system and related documentation dating 1982-2005 to NARA upon approval of this schedule. Thereafter, cutoff at the end of each calendar year and transfer pre-accessioning copy, with related documentation, to NARA every 2 years. Transfer of legal custody to take place when records are 25 years old, after declassification review. (N1-330-07-01)

810-05. National Disclosure Policy System (NDPS) Master File. 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; 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. (N1-330-07-01).

810-06. Foreign Visits System (FVS) Masterfile. 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. Destroy/Delete 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. (N1-330-07-03)

811. FILES OF MILITARY ASSISTANCE ADVISORY GROUPS (MAAGS), MILITARY MISSIONS, AND SIMILAR JOINT ACTIVITIES ESTABLISHED IN FOREIGN COUNTRIES TO MANAGE DoD SECURITY ASSISTANCE ACTIVITIES
(NC1-330-79-3)

811-01. Records On Security Assistance

811-01.1. Records on programs for the provision of security assistance to foreign governments in the form of material, 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. Retire to the WNRC when 5 years old. Transfer to the National Archives when 20 years old.

811-01.2. 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. Destroy in accordance with the disposition schedules of the Department designated to provide administrative support as identified in DoD Directive 5124.3.

811-02. Records on the Organization and Functions of U.S. Military Missions. Included are agreements, directives, understandings, policy guidance documents, and similar instructional material received from elements of the Department of Defense, the Department of State and its components, and from foreign governments as well as records generated within the missions themselves, such as regulations, administrative memoranda, other policy issuances, organization charts, manuals, organization planning files, and general orders that document such matters as changes in command, organizational changes, and the issuance of awards.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 20 years old.

811-03. Other Records on MAAG's and Mission. Follow the DoD disposition schedules of the Department designated to provide administrative support as identified in DoD Directive 5100.3.

Disposition: Follow the DoD disposition schedules of the Service designated to provide administrative support as identified in DoD Directive 5100.3.

812. DEPUTY UNDER SECRETARY OF DEFENSE (SECURITY POLICY)
EMERGENCY PLANNING FILES (N1-330-90-3)

812-01. Program Planning Files. 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:

812-01.1. Civil Defense Files. Documents on activities and measures designed or undertaken to:

812-01.1.1. Minimize effects upon civilian population caused or expected to be caused by an enemy attack on the United States.

812-01.1.2. Deal with immediate emergency conditions that would be created by such an attack.

812-01.1.3 Affect emergency repairs to, or the emergency restoration of, vital utilities and facilities destroyed or damaged by such an attack.

812-01.2. 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.

812-01.3. Exercise (Command Post) Files. Records of military maneuvers or simulated wartime operations involving planning, preparation, and execution.

812-01.4. 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.

812-01.5. Military Support to Civil Authorities (MSCA) in Peacetime Conditions Files. Records on policy, plans and procedures governing MSCA in peacetime or wartime conditions:

812-01.5.1. 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.

812-01.5.2. Documents related to the execution of disaster preparedness (e.g., plans for hurricanes, earthquakes, etc.).

812-01.5.3. Explosive Ordnance Disposal. Documentation of identification, detection, recovery and disposal of unexploded explosive ordnance.

812-01.6. 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:

812-01.6.1. Civil Infrastructure Development. Fixed and permanent installations or facilities for support and control of military forces.

812-01.6.2. 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).

812-01.7. Mobilization Steering Group Files:

812-01.7.1. Changes to current policies, plans, programs, and procedures that would improve the Department's ability to mobilize rapidly and deploy military forces.

812-01.7.2. Evaluations of the department's capability to mobilize forces and to carry out major deployment plans.

812-01.8. Graduated Mobilization Response Files. Documents on:

812-01.8.1. Development and implementation of incremental mobilization steps that are responsible to a wide range of national security threats and warning indicators.

812-01.8.2. Quick and effective implementation of mobilization preparedness measures.

812-01.8.3. Coherent decisions that relate mobilization response to the anticipated military requirements and overall national security policy.

812-01.9. 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.

812-01.10. 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. Retire to the WNRC when superseded or obsolete. Transfer to the National Archives when 30 years old.

812-02. Defense Advisory Board Files. Reference material on board study activities.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-03. Defense Planning and Budget. Reference files on emergency planning response to SecDef's planning program budget.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-04. Defense Production Act. Reference files on the Defense Production Act of 1950.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-05. DoD Emergency Authorities Retrieval and Analysis System (DEARAS). Reference material used to develop DEARAS as an innovative contribution to the Department of Defense and Government-wide emergency management capability.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-06. Emergency Planning Preparedness. Reference files on national security energy, emergency planning and response.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-07. Energy Emergencies. Reference material on special activities on national security, emergency planning and response.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-08. FEMA Activities. Reference materials concerning the wide range of emergency management activities in the Federal Government during times of peace and war.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-09. Foreign Acquisitions. Reference materials that monitor U.S. economy with other major industrial countries.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-10. Industrial College of the Armed Forces. Reference material on research on strategic resources that impact on national security.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-11. Mobilization Matters. Reference documents on the act of organizing national resources to place the nation in a state of readiness to meet a military threat; calling up of Reserves and assembly of military forces in order to meet a national emergency.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-12. Mobilization Research Studies (MRS). Reference material on Government or contractor activities on mobilization and policy development.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-13. Industrial Base Preparedness Planning Reference Files. Material on the preparedness of industry to produce essential material to support national military objectives.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-14. National Security Affairs. Reference material encompassing both national defense and foreign relations: A defense posture capable of successfully resisting hostile or destructive action from within or without, overt or covert.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-15. National Defense Stockpile (NDS). Reference material on stockpiling strategic and critical materials in the interest of national defense to preclude a dangerous and costly dependence on foreign sources of supply in times of national emergency.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-16. NATO Affairs. Reference materials on international organizations covered by the agreement of the NATO.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-17. Readiness and Sustainability Issues. Reference material on the ability and staying power (number of days) of our forces, units, weapon systems, and equipment that units can deliver in the outputs that they were designed (ability to deploy and employ without unacceptable delays).

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-18. Reserve Forces. Reference material on functions of non-mobilized forces of the United States:

812-18.1. The National Guard.

812-18.2. The Reserves.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-19. Sea- and Airlift Policy. Reference papers on the total capacity of number of passengers and weight of cargo that can be carried at any time to a given destination by the available air or sea transport service.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-20. Combatant Commands. Reference material on military missions assigned by the President and the SecDef.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-21. Uniformed Services. Reference material on the Military Services. Includes posture statements, documents on strategy and strategic planning, rules of engagement, and other topics of a general nature.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

SERIES 900

ASSISTANT SECRETARY OF DEFENSE (HEALTH AFFAIRS)

900. HEALTH AFFAIRS (HA)

EXCEPT WHERE OTHERWISE NOTED, THESE FILES WERE APPROVED UNDER NATIONAL ARCHIVES JOB NO. NC1-330-77-5.

Health Affairs Files. This chapter consists of files necessary to administer the health affairs policy function of the OSD. Included is advice and coordination on all health matters in the Department of Defense.

Unless otherwise indicated, all Health Affairs files of a permanent nature shall be transferred to the National Archives when 30 years old. Files may be further divided depending upon volume by the use of a decimal suffix.

901. RESERVED (103., Common Mission Files.)

901-01. Defense Medical Data Dictionary (DMDD) (NC1-330-92-11). This automated database is maintained by the Department of Defense (Health Affairs). The DMDD is designed to collect, catalog, analyze and standardize terminology, content, and format of data elements used in operational and proposed medical information systems of the Department of Defense. The DMDD includes the physical and logical data element characteristics; source data element and file information; data element definition and other documentation; status of data element in the standardization process; official data element names; and data element value tables.

Disposition: Permanent. Transfer copies of the electronic files and documentation to the National Archives in September 1992. Thereafter, transfer on an annual basis. All transfers should be made in accordance with the standards set forth in 36 CFR 1228.

902. DRUG AND ALCOHOL ABUSE

902-01. Prevention and Identification.

902-01.1. Documents on policy guidance on the prevention and identification of drug and alcohol abuse.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded, as prescribed for policy-type documents maintained in accordance with series 103-01.

902-01.2. Administrative documents that prescribe procedures to determine frequency of testing and identification of drug and alcohol abuse personnel subject to testing.

Disposition: Destroy when superseded by new technology or improved procedures.

902-02. Alcohol Abuse. Policy matters on the alcohol abuse treatment programs prescribing procedures to be used and guidelines in the administration and discipline of personnel with alcohol problems.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded, as prescribed for policy-type documents maintained in accordance with series 103-01.

902-03. Treatment and Rehabilitation

902-03.1. Policy on alcohol or drug treatment that prescribes the type of action to be undertaken for treatment, the rehabilitation procedures, and what disposition is to be made of those who complete the program or drop out. These are policy matters and do not include case files.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

902-03.2. Statistics on the number of military personnel undergoing treatment, or re-treatment and those separated or returned to duty. Excludes raw statistical data included in compiled studies.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

902-03.3. Periodic evaluations on a "when required" basis consisting of documents that measure the success and effectiveness of the program.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

902-04. Education and Training. Documents that develop and implement policy for use in education and training programs used by the Armed Forces. It does not include individual training records but does include evaluations of the effectiveness of the current policy.

Disposition: a. Retire policy matters to the WNRC when obsolete or superseded, as prescribed for papers maintained in accordance with series 103-01. b. Evaluations are permanent. Retire to the WNRC when obsolete or superseded.

903. RESOURCE ANALYSIS

903-01. Facilities and Material. Development, coordination, and monitoring of DoD medical facilities and material policies, plans, and programs. Policies and guidelines on planning and space standards for military healthcare facilities. Review and coordination of plans and programs of FEMA regarding medical recommendations on proposed legislation about facilities or material.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded, as prescribed for policy-type documents maintained in accordance with series 103-01.

903-02. Health Manpower. Directives that establish the military requirements for health personnel. These are of a nature that identify the critical medical and dental health categories; designate those entitled to continuation pay; and authorize strengths in grade for the Medical and Dental Officers Corps. Preliminary to the issue of such directives would be documentation consisting of studies and analyses that indicate the necessity for change. Policy directives on the utilization and medical education and training of health specialists. An example would be internship program policy and a determination of obligated service time for those who receive special training. Another would include documents proposing legislation affecting health programs such as bonus money to stimulate recruitment and retention.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

903-03. Cost and Budget. Documents on budget requirements for health activities to be incorporated in appropriate budgets and plans. Cost-benefit studies of possible cross-savings, consolidations, or disestablishment of health facilities.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded.

904. PROGRAM STATISTICS

904-01. Program Statistics. Analyses of medical care case load reports provided by the Military Departments, the correlation with manpower reports on the military and dependent population in various defense communities in order to determine the type medical facility needed to deliver the required healthcare. The analyses of reports from the Military Departments on the incidence of various diseases; the number of recruits rejected for health reasons and similar data of medical interest.

Disposition: Permanent. Retire to the WNRC when 5 years old.

904-02. Data Systems

904-02.1. Documents describing medical data system requirements to the programming and operating facility.

904-02.2. User manuals of operable data systems.

904-02.3. Agreements for data systems support.

Disposition: Destroy 2 years after system discontinued.

904-02.4. Analyses and studies of data system requirements for health affairs.

Disposition: Destroy 1 year after superseded.

904-03. Defense Enrollment Eligibility Reporting System (DEERS) Enrollment Data Base. Duplicate copies of DD Form 1172, "Application for Uniformed Services Identification Card - DEERS Enrollment," submitted by the Military Services to the DEERS Support Office, Monterey, California, and used to create a database to provide a complete tracking and eligibility history for every eligible and past-eligible beneficiary of the DEERS. These documents exist in hardcopy format initially and are then written onto 12-inch optical disks after scanning, registration in the system, downloading, and quality control testing. (NC1-330-90-5)

Disposition: a. Hardcopy version of DD Form 1172: Destroy once written to optical disk. b. Optical disks: Destroy primary and backup copies after 5 years.

904-04. Defense Biometric Identification Data System (DBIDS) Master File Information system containing personal data about Armed Forces personnel and their family members both active duty and retired, DoD and non-DoD employees and dependents, U.S. residents abroad, foreign nationals, and corporate employees and dependents who have access to U.S. installations in the continental U.S. and overseas. Included are:

- Finger prints, photographs, iris scans, hand geometry template, card issue date and expiration.
- Vehicle information such as manufacturer, model year, color and vehicle type, license plate type and number, decal number, current registration, automobile insurance data, and driver's license data.
- Data on government-issued and personal weapons such as type; serial number; manufacturer; caliber; firearm registration date; and storage location data to include unit, room, building, and phone number.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

904-05. Installation Management Reports. User generated and printable reports from DBIDS such as:

- Name, grade, Social Security Number, status, date and place of birth, weight, height, eye color, hair color, gender, passport number, country of citizenship, geographic

and electronic home and work addresses and telephone numbers, marital status, index fingerprints and photographs, and identification card issue and expiration dates.

- Vehicle information such as manufacturer, model year, color and vehicle type, license plate type and number, decal number, current registration, automobile insurance data, and driver's license data.
- Government-issued and personal weapons such as type; serial number; manufacturer; caliber; firearm registration date; and storage location data to include unit, room, building, and phone number.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

905. UTILITY REVIEWS AND QUALITY ASSURANCE

905-01. Utility Review. Studies and analyses of areas of potential innovation and assessments of value to productivity-enhancing technology with a view towards the improvement of health services in the Department of Defense.

Disposition: Permanent. Retire to the WNRC when 5 years old.

905-02. Quality Assurance Studies and Analyses of Healthcare Quality.

905-02.1. Standards.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

905-02.2. Studies and evaluations on a "when required" basis, not resulting in issuance of new standards.

Disposition: Destroy when 5 years old.

905-02.3. Studies and analyses that result in issuance of new standards.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

906. TRICARE RECORDS

906-01. Policy

906-01.1. These documents are generally in the form of instructions to the DoD Components on the administration of the TRICARE (formerly Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) program). They establish such policy as eligibility under the program for active duty, retired, and dependents of the military; guidance on obtaining contract support; the creation of an accounting system to

process claims and related matters.

Disposition: Permanent. Retire to Denver Federal Records Center (FRC) when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

906-01.2. Studies and reviews of developments and trends in the health industry that may impact on TRICARE.

Disposition: Destroy when 5 years old.

906-01.3. Analyses of TRICARE costs for various types of treatment to determine equitable pricing structure.

Disposition: Destroy when 5 years old. This is a continuous, evolutionary process.

906-01.4. Analyses and preparation of the TRICARE budget.

Disposition: Destroy when 5 years old. This is input to the OSD budget process.

906-02. Liaison Activities. Coordination between industry organizations and professional associations; with healthcare programs in the uniformed and other health agencies.

Disposition: Destroy when 10 years old.

907. PLANNING AND POLICY

907-01. Policy Analysis. These files consist of studies made of the continuing need for health policies that are proposed or presently in the forms of Directives or Instructions. These files also coordinate the proposals of other offices on the need for healthcare legislation.

Disposition: Permanent. Retire to the WNRC when 5 years old.

907-02. Mobilization Plans. Coordination of medical aspects of emergency war and mobilization planning. Documents on liaison with FEMA.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

907-03. Productivity Planning. Studies and analyses whose purposes is to optimize efficiency in the healthcare program. The development of uniform standards to measure productivity. Some examples are the exploration of shared resources and the use of screening by a technician to save the doctor's time.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

908. DENTAL AFFAIRS

908-01. Policy

908-01.1. The development, coordination, and issuance of directives and guidelines on dental policy for the Department of Defense. This would include such policy matters as the limitation of dental care for military dependents, the joint utilization of personnel and facilities for dental care.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

908-01.2. The estimation of an equitable continuation pay for dental officers.

Disposition: Destroy 2 years after new estimates for legislative changes proposed.

908-01.3. Monitoring of the Dental Student Program.

Disposition: Destroy when 3 years old.

908-01.4. The establishment of standards for dental classification and specifications for conducting dental examinations.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

909. MEDICAL AFFAIRS.

Development, coordination, and directives on the medical aspects of DoD programs (clinical and preventive medicine for the Armed Forces). Preparation of DoD Directives and Instructions on medical services programs in the Department of Defense. Coordination of Federal medical professional activities.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

910. MEDICAL READINESS (NC1-330-80-12)

910-01. General

910-01.1. Speeches. Copies of speeches made by assigned personnel or by others on medical readiness.

Disposition: Destroy when no longer required for reference. The Public Affairs office has the record copies of speeches.

910-01.2. Committee and Conference Records. Documents on establishing, operating, and dissolving committees that consider, advise, take action, and report on specifically assigned functions. They include joint, inter-Departmental, and international committees in which OSD participates as well as committees within principal components of the Department of Defense. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving, appointing, and relieving committee members; notices, agenda, minutes, and reports of committee meetings; and related documents.

Disposition: a. Office of the committee chairman or secretariat, whichever is designated office of record: permanent. Cut off when no longer needed for current operations; retire to the WNRC 5 years after cut off or when the committee is abolished, as prescribed for committee-type documents maintained in accordance with series 103-06. b. Offices of other committee members, destroy when no longer needed for current operations.

910-02. Armed Services Medical Regulatory Office (ASMRO). Records. Copies of capability reports and similar information from the ASMRO.

Disposition: Destroy when no longer required for reference, as authorized for records maintained in accordance with series 103-08.

910-03. Audits

910-03.1. General Accounting Audits. Case files of audits of medical facilities or related to health affairs. The DoD Inspector General is the POC for internal and GAO auditing activity.

Disposition: Apply disposition schedule from Section 103-10.

910-03.2. Defense Audit Service Audits Case files of audits of medical facilities or related to health affairs.

910-04. National Disaster Medical System/DoD-VA Contingency System

910-04.1. Agreements on concepts training, and other considerations relevant to a contingency plan for the use of non-Federal hospital facilities.

Disposition: Destroy 6 years after superseded, cancellation, or termination of the agreement, as appropriate for agreements maintained in accordance with series 103-04.

910-04.2. Special study reports.

Disposition: a. Reports of task groups are permanent. Retire to the WNRC when no longer needed for reference. b. Reference and non-record materials accumulated in the preparation of the study, destroy when no longer required for reference, as prescribed for documents maintained in accordance with series 102-18.

910-04.3. Documents on Directorate meetings.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

910-04.4. Documents on funding and reimbursement.

Disposition: Destroy after 5 years or on discontinuance, whichever is first, as prescribed for documents maintained in accordance with series 103-03.3.

910-04.5. Documents on operations.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

910-05. Exercises. Documents on exercises between elements of the Department of Defense and other Federal Agencies or organizations.

Disposition: Destroy when no longer required for reference.

910-06. International Affairs

910-06.1. Documents on DoD relationship with Allied countries on medical readiness matters.

Disposition: Permanent. USD(P) offices retain the record copy of any agreements with foreign countries. The OASD(HA) retains any records created on medical readiness such as evaluations and other analyses. Retire to the WNRC when no longer required for reference.

910-06.2. Reference documents on medical facilities and readiness in Allied countries such as Defense Intelligence Agency (DIA) capability studies.

Disposition: Destroy when no longer required for reference.

910-07. Chairman of the Joint Chiefs of Staff and Joint Staff Matters

910-07.1. Copies of documents relating to medical readiness. Copies of capability assessments, readiness reports, and similar material.

Disposition: Destroy when no longer required for reference.

910-07.2. Documents created for readiness evaluation such as analyses of medical readiness; recommendations of a policy nature.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

910-08. Military Medical Facilities. Reference documents on survey of resources of military medical facilities.

Disposition: Destroy when no longer required for reference, as prescribed for documents maintained in accordance with series 103-08.3.

910-09. Mobilization Planning

910-09.1. Documents on the medical aspects of emergency war and mobilization planning. Documents on liaison with other activities such as the FEMA.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

910-09.2. Reference material.

Disposition: Destroy when no longer needed for reference.

910-10. Medical Resource Requirements

910-10.1. Studies and forecasts of wartime medical resource requirements obtained through modeling techniques.

Disposition. Permanent. Retire to the WNRC when no longer needed for current business.

910-10.2. Reference material

Disposition: Destroy when no longer needed.

910-10.3. Studies and forecasts by other Agencies.

Disposition: Destroy when no longer required for reference (904-02.).

910-11. Nuclear, Biological, and Chemical Warfare

910-11.1. Evaluations and policies on nuclear, biological, and chemical warfare related to medical readiness.

Disposition: Permanent. Retire to the WNRC when no superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

910-11.2. Reference material on nuclear, biological, and chemical warfare on medical readiness.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for reference papers maintained in accordance with series 103-08.3.

910-12. Planning, Programming, Budgeting System

910-12.1. Background papers on medical readiness budget matters.

Disposition: Permanent. Retire to the WNRC when no longer needed for reference.

910-12.2. Reference documents on the budget system, including policy guidance and copies of POM.

Disposition: Destroy when no longer required for reference.

910-13. Reserve Affairs

910-13.1. Copies of policy documents on the readiness posture of the Reserve forces.

Disposition: Destroy when no longer required for reference.

910-13.2. Studies, reports, and analyses of Reserve posture.

Disposition: Permanent. Reviews and analyses of a formal nature. Retire to the WNRC when no longer required for reference.

910-14. Wartime Skills Training

910-14.1. Training policy on medical readiness training.

Disposition: Permanent. Retire to the WNRC when superseded, obsolete, or no longer required for reference, as prescribed for policy-type documents maintained in accordance with series 103-01. retire to the WRNC when no longer required for reference.

910-14.2. Training policy reference material.

Disposition: Destroy when superseded, obsolete, or no longer required for reference, as

prescribed for documents maintained in accordance with series 103-08.3. See 903-02. for record material.

910-14.3. General File

910-14.3.1. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives on the establishment and operation of training courses and conferences.

Disposition: Destroy when 5 years old or 5 years after completion of a specific training program.

910-14.3.2. Background and work papers.

Disposition: Destroy when 3 years old.

910-14.4. Individual Training. Documents on the availability of training and participation in training programs sponsored by other Government Agencies or non-Government institutions.

Disposition: Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

911. TRICARE FILES

911-01. TRICARE Contractor Claims Records (NC1-330-92-5). These files consist of any record, whether paper copy, or electronic media, acquired or used by the fiscal intermediary and/or contractor in the development and processing of TRICARE CHAMPVA claims. These records include but are not limited to: claims (TRICARE claims or other forms approved by TRICARE) receipts (itemized statements); medical reports (operative or daily nursing notes, lab results, etc.) authorization forms; nonavailability statements; certifications of eligibility; double coverage information; completed third party liability (guardianship); peer reviews and other correspondence that support payments to beneficiaries, physicians, and other suppliers of service under TRICARE.

911-01.1. Paper records that are NOT microfilmed.

Disposition: Close out at end of the calendar year in which received; hold 1 additional year; and transfer to the FRC. The FRC shall destroy after an additional 5 years retention.

911-01.2. Paper records that have been microfilmed.

Disposition: Destroy paper upon verification of microfilm, or as directed by TRICARE.

911-01.3. Microform and/or Electronic Media.

Disposition: Close out at end of the calendar year in which created; hold on-site 6 additional years.

911-02. TRICARE Benefit Check Records (NC1-330-77-16). These files consist of paid checks that contractors receive from banks covering amounts paid to beneficiaries and/or sponsors, physicians, and other suppliers of service under the TRICARE program. Also included are check vouchers and canceled or voided checks resulting from non-receipt, loss, theft, or non-delivery where the beneficiary and/or sponsor cannot be reached.

Disposition: Close out at the end of the calendar year in which paid, or voided, as applicable; hold 1 additional year; and retire to the FRC. The FRC shall destroy after an additional 5 years retention.

911-03. Explanation of TRICARE Benefit Records (NC1-330-92-5). These files consist of explanation of TRICARE benefit notices TRICARE Explanation of Benefits (TEOB) used to advise beneficiaries and/or sponsors about TRICARE claims. Included are forms that are developed locally by contractors regarding explanation of TRICARE benefits.

911-03.1. Paper records that are NOT microfilmed.

Disposition: Close out at end of the calendar year in which issued; hold 1 additional year; transfer to the FRC; destroy after 5 years.

911-03.2. Paper records that have been microfilmed.

Disposition: Destroy upon verification of microfilm, or as directed by TRICARE.

911-03.3. Microform and/or Electronic Media.

Disposition: Close out at the end of the calendar year in which created; hold on-site 6 additional years.

911-04. Appeals and Hearings Case Files - TRICARE Program (NC1-330-86-1). These files accumulate when a beneficiary and/or sponsor, physician, or supplier of service is dissatisfied with the contractor's determination denying a request for payment, or with the amount of the payment, or when the individual believes that the request for payment is not being acted upon with reasonable promptness. Included are copies of the claimants' request for review, together with relevant written statements or evidence, notices or review decision, requests for a hearing to protest adverse decisions, hearing proceedings, hearing officers to protest adverse decisions, hearing proceedings, hearing officers' final decisions, and other papers resulting from the appeals process.

Disposition: Place in inactive file upon final action on the case. Close out inactive file at the end of the calendar year in which action was taken, hold 1 additional year, and retire to the FRC. Destroy after 5 years' retention in the FRC.

911-05. Contractor Subcontractor Files. These files consist of copies of contractor agreements with subcontractors, leases for building space, equipment, and consulting and other services. Included are TRICARE approvals, amendments, and similar papers.

Disposition: Close out at the end of the calendar year in which paid, or voided, as applicable; hold 1 additional year; and retire to the FRC. The FRC shall destroy after an additional 5 years retention.

911-06. TRICARE Provider Authorization File (NC1-330-81-8).

911-06.1. Certification of Institutional Providers of Healthcare Cases Files. These files consist of certification of institutional providers of healthcare as authorized TRICARE providers that meet all applicable provisions of law and regulation. The files include: TRICARE forms, correspondence, and related documents certifying that each provider (institutional entity that provides medical services or supplies on an outpatient or inpatient basis) meets the criteria in the TRICARE Regulation, 32 CFR part 199. They also include insure compliance with TRICARE standards, investigation of complaints, termination and reinstatement of providers, and assessment of the operational effectiveness of the provider certification program.

Disposition: Place in inactive file upon completion of the final action, cut off inactive file at the end of the calendar year in which final action was taken, hold for 2 additional years, and retire to the TRICARE Records Holding Area (RHA). Destroy after 3 years retention in the RHA.

911-06.2. Health Facilities Registry File. This file consists of a computer printout registry of TRICARE-approved institutional providers of healthcare. The file includes the following categories of providers: Residential Treatment Centers, Specialized Treatment Facilities, and Program for the Handicapped. (The registry is compiled from data contained in file 911-06.1., above.)

Disposition: Destroy when superseded by a new registry.

911-07. TRICARE Recoupment Files (NC1-330-92-5). These files consist of all documents used to develop and execute recoupment cases at the contractor and TRICARE level. The files include: copies of TRICARE claim forms, correspondence and related documents, Explanations of Benefits, checks, investigative reports, court documents and other documents required to collect debts owed the Government. Information from these files may be given to consumer credit agencies.

Disposition: Place in inactive file upon completion of the final action, cut off inactive

file at the end of the calendar or fiscal year in which final action was taken, hold 1 year, transfer to the FRC, destroy after 5 years.

911-08. Fraud and Abuse File (NC1-330-86-2). These files consist of control forms, background papers, development records, external agencies reports/letters/investigative records, contractor products of processing, Utilization Review and Medical Analysis papers, and other documents required to process fraud and abuse cases.

Disposition: Place in inactive file upon completion of the final action, cut off inactive file at the end of the calendar year in which the final action was taken, hold 1 year, and transfer to the FRC. The FRC shall hold for an additional 5 years.

911-09. TRICARE Litigation Files. These files consist of TRICARE copies of documents that are forwarded to the Department of Justice for litigation cases in which TRICARE is party.

Disposition: Place in inactive file upon finalization of the case, cut off inactive file at end of the calendar year in which final action taken, hold 1 year, transfer to FRC. The FRC shall hold for an additional 5 years.

911-10. TRICARE Legal Opinion Files. These files consist of records from various legal files which are maintained for legal opinion purposes only.

Disposition: Destroy when no longer required for reference.

911-11. TRICARE Medical Care Grievance Case Files (NC1-330-94-1). These files consist of beneficiary's written complaints of a TRICARE provider, healthcare finder, or other contractor or subcontractor personnel to furnish the level or quality of care and/or service to which the beneficiary may believe they are entitled. This category includes the record of the contractor's review and findings, the response to the aggrieved party and, where appropriate, the record of the corrective action taken.

Disposition: Cut off at the end of the CY in which case is closed. Hold in the CFA 1 additional year and retire to FRC. Destroy after 5 years.

912. UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES (USUHS) STUDENT AND ACADEMIC RECORD FILES (NC1-330-88-3)

912-01. Registrar's Student Promotions Committee (SPC) Files. Originals of proceedings of SPC on proficiency, deficiency, graduation, deceleration and/or disenrollment of medical students and other matters referred to the SPC. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Cut off upon graduation, transfer, withdrawal, or death (GTWD) of a student and incorporate in 912-02., below (NC1-330-88-3, Item 1).

912-02. Registrar's Academic and Training Progress Files. Individual case files of medical student training including student's academic credit transcripts that list grades and credit hours for each class; results from medical board tests; teacher evaluations with final grade in each subject and/or reason for noncompliance (SPC correspondence, if applicable); correspondence regarding State licensure certification procedures or personal requests for academic transcripts and records related to individual training projects. This file also includes records retired there from 912-01. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Cut off upon GTWD of student; hold in the CFA 20 years; retire to the WNRC; destroy 50 years after GTWD (NC1-330-88-3, Item 2).

912-03. Continuing Nursing Education Program Records. Individual nursing program records containing documentation required for accreditation by the American Nurses Credentialing Center's Commission of Accreditation.

Disposition: Cut off annually (CY), hold in the CFA 5 years, destroy 5 years after cut off (NI-330-98-2, Item 1).

912-03.1. Electronic versions of records created by the electronic mail and word applications.

Disposition: Delete when file copy is generated or when no longer required for reference or updating.

912-04. Matriculant Graduate School Records. Individual student records containing required documents for application/selection/completion of program. Each record also contains records on education, indicating subject studies, number of quarter credit hours, final grade in each subject, and/or reason for non-completion of the course. Also includes other related documents required by college/university accrediting organizations. This file contains information protected under the Privacy Act of 1974 (WUSU05).

Disposition: Cut off upon GTWD of student; hold in the CFA 5 years; retire to the WNRC; destroy 50 years after GTWD (NC1-330-91-2, Item 4).

912-05. Nonmatriculate Records Files. Application records of medical and graduate students who were selected to attend USUHS but did not actually matriculate and records of applicants who did not successfully meet all entrance requirements and for those who chose to withdraw during the application process (WUSU04).

Disposition: Cut off at end of school year (May); destroy in the CFA 3 years after student's nonmatriculate date (NC1-330-88-3, Item 5).

912-06. Continuing Medical Education Committee (CMEC) Files. Originals of proceedings of CMEC regarding all matters relating to establishment of USUHS-sponsored CMEC programs; other materials referred to the CMEC. This file contains no policy material (NC1-330-88-3).

Disposition: Cut off annually (CY), hold in the CFA 6 years and retire to WNRC; Destroy after 50 years.

912-07. Continuing Medical Education Program Records. Individual CME Program records containing documentation required for accreditation by the Accrediting Council for Continuing Medical Education (ACCME), the American Nurses Credentialing Center's Commission of Accreditation, or other CME accrediting body.

Disposition: Cut off annually (CY), hold in the CFA 6 years, destroy 6 years after cut off (NI-330-98-2, Item 2).

912-07.1. Electronic versions of records created by the electronic mail and word processing applications.

Disposition. Delete when file copy is generated or when no longer required for reference or updating.

912-08. Matriculant Admissions Files for Medical School. Contains letters of application, letters of recommendation, and general correspondence. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Cut off upon GTWD of student; hold in the CFA 20 years; retire to the WNRC; destroy 50 years after GTWD.

912-09. Student Exam Files. Arranged by class and include copies of examination booklets, answer sheets, testing materials, correspondence, and other documentation pertaining to the administration and control of student testing (NC1-330-91-2).

Disposition: Destroy when superseded or when no longer needed.

912-10. Teaching and Coursework Files. Includes instructional materials developed by the university teaching faculty for both the four-year Medical Education and Graduate Education programs. Maintained by teaching departments and arranged by course catalog number or subject.

912-10.1. Syllabuses, course outlines, handouts, textbooks, manuals, and other instructional materials and teaching aids, to include reprints of published medical literature used in the classroom.

Disposition: a. Uniquely relevant military courses or curriculum: permanent. Cut off upon revision or discontinuance. Retire to WNRC 5 years after cut off; transfer to

NARA 25 years after cut off. b. Regular medical school or graduate school courses: update periodically and destroy when no longer need for reference.

912-10.2. Course announcements; academic calendars consisting of course rotation schedules for 1st through 4th year students or graduate school equivalent; general correspondence, reports, agreements, authorizations, reviews, plans, objectives and other types of records relating to the development, implementation, and administration of the university's teaching program; lecture notes.

Disposition: Destroy when no longer needed.

912-11. Instructor's Individual Medical Student Record Files. These are files kept for the convenience of the teaching staff which consist of materials duplicated in or not appropriate for inclusion in the Academic and Training Progress Case Files, 912-02., or other series described elsewhere in this section. Examples of documents that might be kept in these files are records of individual student rotation assignments, elective assignments, student evaluations, clinical clerkships. These files contain information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Review at the end of each academic year, destroy or carry forward contents, as appropriate; upon GTWD of student, destroy or transfer to the registrar's files, as appropriate.

912-12. Instructor's Individual Graduate School Record Files. These are files kept for the convenience of the teaching staff, which consist of materials duplicated in or not appropriate for inclusion in the Matriculant Graduate School Record Files, 912-04., or other series described elsewhere in this section. Examples of documents that might be kept in these files are records of individual student assignments, elective assignments, student evaluations, or other related records. These files contain information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Review at end of each of each academic year, destroy or carry forward the contents, as appropriate. Destroy when no longer needed.

912-13. Student Theses and Dissertations Files. Copies of master's theses and doctoral dissertations submitted as requirements for award of an advanced degree in the basic medical sciences. Copies are submitted by each student as follows: one to the university library; one to the Department library; one to the Office of Graduate Education.

Disposition: Office of Graduate Education: permanent. Hold in the CFA for 10 years after date of publication and retire to the WNRC; retire to the NARA after 25 years.

912-14. Removed.

913. USUHS FACULTY FILES

Use for those files maintained by individual faculty that are usually reference in nature and described elsewhere in this schedule.

913-01. Outside Affiliations. These are files consisting of information pertaining to outside professional organizations with which faculty members are affiliated as officers, fellows or participants, and may consist of correspondence, agendas, minutes of meetings, newsletters, reports, or other pertinent materials. They are maintained by or for individual faculty members for ease of reference. Care should be exercised to ensure that information maintained in this file is pertinent to faculty members' USUHS appointment. Affiliations may include but are not limited to such organizations as the American College of Cardiology, American Society for Clinical Investigation, American Federation for Clinical Research, American College of Physicians, Association of American Medical Colleges, Association of American Physicians, Association of Program Directors in Internal Medicine, and American Heart Association.

Disposition: Review periodically and destroy material that is no longer needed or appropriate for continued inclusion.

913-02. Medical and Scientific Journal Publications. These files consist of manuscripts, articles and abstracts written by faculty members in connection with their work at the university for publication in various medical journals such as American Journal of Cardiology, Medical Times, Internal Medicine, or Family Physician. May contain both published articles and original manuscripts. Arranged by author's name and/or division. May also include papers reviewed by USUHS staff.

Disposition: Review periodically and destroy when no longer required for reference purposes.

914. USUHS BIOMEDICAL RESEARCH FILES

These files include records related to the planning, development, and oversight of specific projects and programs of biomedical research performed by USUHS scientists or contractors; experimental, observational and control data; and reports, articles, and data sets.

914-01. Experimental and Statistical Data Files. These files consist of logs, notebooks, cards, forms or other media on which observations and data are recorded; records on patients or volunteers; interviews, questionnaires, examinations, or lab tests, including machine readings and data from slides, specimens or cultures; copies of abstracts of non-clinical records on individuals such as birth and death certificates; records created in processing and analyzing data related to or resulting from the project, including indexes, code cards and sheets, charts, graphs, punch cards, computer output, tabulations, diagrams or drawings; and intermediate compilations or analyses and

progress reports with feeder reports and background material.

Disposition: a. End products such as Progress Reports of findings and conclusions: permanent. cut off when project is concluded; retire to the WNRC after 5 years; transfer to the NARA 20 years after cut off. b. Destroy all other materials when no longer required for research or reference purposes.

NOTE: a. Those experiments involving human subjects and/or deemed to be of historical significance should be reappraised on an individual basis for permanent retention. Such experiments might deal with a cure of a disease, a major scientific discovery, a major health program, or other event generating great media, public, or historic interest. Notify NARA so that an analysis and appraisal of these experiments can be conducted and appropriate disposition authorized. b. Files created in the course of research undertaken at the request of non-DoD agencies, e.g., the NIH, are not covered by this schedule, must be clearly identified, and must be kept separate from defense-related work.

915. USUHS INTRA- AND EXTRAMURAL RESEARCH PROTOCOL AND GRANT ADMINISTRATION FILES

This section applies to protocols and grants awarded to the USUHS or the Henry M. Jackson Foundation for the Advancement of Military Medicine (HMJ), which are maintained by the Research Administration Office.

915-01. Research Protocols and Grants (NI-330-98-3). These files contain the official copy of the protocol or grant describing the nature of the proposed research, methodology involved, projected aims and justifications, notations and records of approval actions, names of principal investigators, project reviews, and related correspondence and memoranda. Files are arranged by investigator's name and Research Administration control number. Files may be maintained in the following status categories:

915-01.1. Pending - Waiting approval and/or disapproval and action by grantor.

915-01.2. Active - Currently in an approved and/or funded status having passed all stages of review.

915-01.3. Historical - Consist of disapproved, unfunded, and withdrawn applications and include total application, summary of review actions, and notification that no award shall be made. Also consist of previously active grants that have expired or terminated.

Funded Grants and Awards Case Files. These files consist of individual case folders containing the total application, summary of review actions, award notices, progress reports, financial records, audit records, close-out documents and other

supporting and related papers maintained as an identifiable entity. They include research project grants, fellowships, training grants, and similar types of grants and awards.

Unfunded Grants or Awards. These files consist of disapproved, withdrawn and non-funded grant applications and include the total application, summary of review actions, and notification that no award shall be made (WUSU09).

Disposition: a. Cut off on close-out or expiration of protocol/grant or disapproval of award; hold in the CFA for 1 year after cut off, retire to the WNRC, destroy 6 years and 3 months after cut off. NOTE: Those projects deemed to have historical significance should be appraised on an individual basis for permanent retention. Such projects might deal with cure of a disease, a major scientific discovery, a major health program or other event generating great media, public, or historic interest. Notify the NARA so that an analysis and appraisal of these projects can be conducted and appropriate disposition authorized. b. RECINDED. c. RECINDED.

915-01.4. Electronic versions of records created by the electronic mail and word processing applications.

Disposition: Delete when file copy is generated or when no longer required for reference or updating.

915-02. Grant Control Files. Indexes, registers, logs or other records relating to control of assigning numbers or identifying project applications and grants.

Disposition: Destroy when superseded or obsolete (GRS 3, Item 14. Electronic format (GRS 20, Item 3 (b) (1); GRS 3, Item 14).

915-03. Grant Administration Files. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

Disposition: Destroy when 2 years old. GRS 3, Item 14

916. USUHS AUTOMATED DATABASE FILES

This section is reserved exclusively for electronic databases created specifically to facilitate data production requirements unique to the USUHS administrative support programs.

916-01. College and University Financial System (CUFS). This database is maintained by the CUFS Project Office System Manager and provides end users logistical, contracting, and financial management information such as payroll, fund status, order and requisition tracking, and purchase and requisition order tables. Hard copy reports are generated as scheduled by users on a daily, weekly, biweekly, monthly, quarterly, annual, or as-required basis. System backups are performed on a monthly and

annual basis on magnetic tape or other storage media. This file contains information protected by the Privacy Act of 1974 (WUSU02, WUSU17 and WUSU18).

Disposition: Monthly backup files are scratched after 3 years; annual backups after 6 years. Hard copy output is incorporated into user files and is disposed of according to the appropriate subject series descriptions found elsewhere in this Instruction.

916-02. Automated Faculty Curriculum Vitae Files. This database is maintained by the Civilian Personnel Directorate and includes fields describing basic biographical and professional-qualifications data on academic faculty members. Hard copy output is furnished users upon request.

Disposition: Delete individual entries when faculty appointment is terminated. Delete file when system is superseded. (For disposition of non-electronic files, 922-02.)

917. USUHS DEPARTMENT OF LABORATORY ANIMAL MEDICINE (LAM)

This series consists of files pertaining to the operation of the LAM that are not described elsewhere in this Instruction.

917-01. Animal Health Records (NI-330-95-4). These consist of healthcare records for all in-house animal populations of the LAM maintained by the Veterinary Medicine Division and include SF 600, "Chronological Record of Medical Care," weight charts, records of surgical procedures, anesthesiology records. Files are grouped by species (dogs, goats, pigs, cats, pigeons, etc.) and within species by USDA tag number or LAM's internal control numbers.

Disposition: Cut off 5 years after death of animal or 3 years after completion of protocol, whichever is later. At the end of this period animal health records and protocols shall be destroyed.

917-02. Animal Husbandry Files. These records are maintained by the Animal Husbandry Division and are used to monitor the condition and status of in-house animal populations and to human contacts with each animal. They consist of inventories kept by species and protocol number, records of temperature and humidity in animal rooms, and information on animal caretakers or technicians documenting each person's work schedule. These records are maintained on inventory sheets, in log books, and in a mainframe computer.

Disposition: a. Inventory Sheets. Destroy inventory sheets when superseded. Electronic data may be dumped when no longer needed for backup. b. Log Books for Animal Caretakers. Record keeping consists of two log books: 1. Individual animal caretakers' entry log (discontinued October 1, 1994), which is destroyed 2 years after final entry (GRS 18, Item 17b). 2. Daily work logs, including daily work assignment sheets and

sanitation schedule for animals. Cut off at the end of the CY, hold in the CFA for 3 years, retire to the WNRC, destroy 72 years after cut off.

918. USUHS UNIVERSITY AFFAIRS

These files contain records promoting the continuation of esprit among University graduates of all the Services.

918-01. USUHS Alumni and Student Information. Records relating to alumni and current students, including employment and residency information, correspondence, and other related records. These files contain information protected under the Privacy Act of 1974 (WUSU18).

Disposition: Destroy when superseded, obsolete, or no longer required for reference.

919. USUHS PHARMACY FILES

These files are maintained by the USUHS Pharmacy, which provides Departments with necessary pharmaceutical required for laboratory and research protocols.

919-01. Pharmacy Controlled Substance Form (USUHS 6048 or successor). Controlled Form having registered numbers and used to account for receiving, issuing, and administration of controlled substances by the Pharmacy. This Form is used to log controlled substances. Requester shall be notified upon arrival of substance.

Disposition: Destroy when 10 years old.

919-02. Departmental Controlled Substance Form (USUHS 6049 or successor). Controlled Form having registered numbers and used to account for receiving, issuing, and administration of controlled substances by Departments or an investigator. Custodians of controlled substances are responsible for safeguarding and maintaining accountability of controlled forms and substances issued to them. Accountability includes documentation of specific date and time when used, species and identification numbers of animals involved with its use, amounts issued, returned or administered, and on-hand balances. Full sheets are returned to Pharmacy and new sheets issued if a balance remains.

Disposition: Destroy when 10 years old.

919-03. Pharmacy/Departmental Controlled Substances (USUHS Form 6047 or successor). Receipt and issue records for controlled substances maintained for accountability purposes.

Disposition: Destroy when 10 years old.

919-04. Pharmacy Controlled Substance Sealing Log (USUHS Form 6054 or successor). Maintained by the Pharmacy for accountability of controlled substances sealed for storage by the Controlled Substance and Alcohol Inventory Board (CSAIB).

Disposition: Destroy when 10 years old.

919-05. Controlled Substances and Alcohol Inventory Board Inventory Report (USUHS Form 6019, or successor). Used by the CSAIB to report the results of all inventory actions.

Disposition: Destroy when 4 years old.

919-06. Request for New Supplies/Pharmaceutical (USUHS Form 6417, or successor). To request new items be added to those stocked in the Pharmacy.

Disposition: Destroy when 2 years old.

919-07. Controlled Substances Temporary Issue Receipts (USUHS Form 6058, or successor). Prepared by Controlled Substance Custodian (CSC) for items leaving the physical facility of USUHS for use at a different location. Yellow copy is retained by Custodian.

Disposition: Destroy when 10 years old.

919-08. Controlled Substance Accountability Worksheets. A monthly accountability of controlled substances within a specific Department. Prepared by department CSC.

Disposition: Destroy when 3 years old, purging once a year.

919-09. Absolute Alcohol Storage Sheets (USUHS Form 6055 or 6056 or successor). Completed by investigators, staff and faculty to keep accountability of absolute alcohol stored in Department fire cabinets. These sheets shall be bound in the "USUHS Pharmacy Alcohol Usage Notebook" issued by the Pharmacy to the CSC.

Disposition: Destroy 1 year after last entry in log.

919-10. Controlled Substances and Alcohol Survey Request/Report (USUHS Form 6016 or successor). Disposal reports of controlled substances that are no longer required.

Disposition: Destroy when 10 years old.

919-11. Department of Justice/Drug Enforcement Administration "Registrants Inventory of Drugs Surrendered" (DEA Form 41, or its successor). Prepared by the Pharmacy Officer and submitted to DEA to account for the destruction of controlled

substances.

Disposition: Destroy when 10 years old.

919-12. Prescription Drugs (not controlled drugs). This file includes hand receipts for drugs, needles, and syringes furnished authorization personnel for use in research only.

Disposition: Destroy when 10 years old.

919-13. Controlled Substances Class I-V. This file consists of copies of the following forms (or their successors): USUHS 6048, "Pharmacy Controlled Substance Form;" USUHS 6049, "Departmental Controlled Substance Form;" USUHS 6047, "Pharmacy/Departmental Controlled Substance;" USUHS 6054, "Pharmacy Controlled Substance;" USUHS 6019, "Controlled Substances and Alcohol Inventory Report;" USUHS 6007, "Use of Biohazards, Controlled Substances, and Dangerous Materials;" USUHS I-6404, "Controlled Substances Temporary Issue Receipt;" USUHS 6058, "Controlled Substance Temporary Issue Receipt;" USUHS 6016, "Controlled Substances and Alcohol Survey Request/Report;" DEA Form 41, "Registrants Inventory of Drugs Surrendered;" and Department controlled substances accountability worksheets.

Disposition: Destroy when 10 years old.

920. USUHS ENVIRONMENTAL HEALTH AND OCCUPATIONAL SAFETY FILES

These files are maintained by the Environmental Health and Occupational Safety (EHS) Division and pertain to the health and safety programs unique to the USUHS. They include data on radiation dosimetry, radiation monitoring, radioactive waste disposal, accidents involving radioactive materials, testing, inspection and calibration of equipment, and radiation safety training and Occupational Health Branch.

920-01. Radiation Protection Surveys - X-ray Surveys - Reports of Local x-ray System Surveys. Includes x-ray system measurements, evaluation of system for compliance with Federal Regulations, and recommendations.

Disposition: Destroy when 5 years old (10 CFR 20.2103).

920-02. Radiation Protection Surveys - Radioisotope Laboratories. Reports of laboratory surveys for compliance with Federal and USUHS Regulations. Includes tests for radioactive contamination of laboratories and or equipment.

Disposition: Destroy when 5 years old (10 CFR 20.2103).

920-03. Radiation Protection Surveys - Radioisotope Packages. Reports of surveys for radioactive contamination of incoming or outgoing packages.

Disposition: Destroy when 5 years old (10 CFR 20.2103).

920-04. Radiation Protection Training. Information about preparing and presenting local training courses on methods of controlling, preventing, and dealing with exposure of people and the environment to ionizing radiation. Included are locally developed training materials, aids, notifications of training sessions, rosters of graduation from courses with grades and attendance dates, and similar information. This file contains information protected under the Privacy Act of 1974 (WUSU08).

Disposition: a. Information relating to training materials, aids, and notification of courses: Dispose of when superseded or obsolete. b. Training attendance, grades and dates of attendance: Maintain on site. Destroy upon termination of license, following NRC instructions.

920-05. Radiation Standard Operating Procedures (SOPs). SOPs maintained by radiation safety officers that prescribe procedures for procurement, use, disposal, and control of radiation sources.

Disposition: Destroy when SOP is superseded or on disposition of the radiation source, whichever is sooner.

920-06. Radiation Analyses. Information on detecting and recording levels of radiation or radioactivity in material samples or objects, and the environment where materials are used. Included are chemical and radiation analysis reports, process control analysis reports, leak and wipe tests, air biological, water, soil and vegetation samples and similar reports, logs, or information.

Disposition: Retain for 5 years and destroy in the CFA (10 CFR 20.2102 and 10 CFR 35.59(d)).

920-07. Radionuclide Experimental Authorization (REA). Information containing authorization for a Principal Investigator to use radioactive material. All information such as application to use material, requests for user status, requests for protocol reviews, and information needed to maintain the REA are included.

Disposition: Maintain on site. Destroy upon termination of license (10 CFR 20.2102(b)).

920-08. Radiation Sources Accounting Files. Information accumulated by radiation safety personnel in controlling the receipt, retire, use, storage, and disposal of radioactive materials and other radiation sources. Included are records of material movements, instructions concerning movements, registers, issue receipts, inventory and material accounting records, waste disposal reports, computer data bases, and similar information.

Disposition: a. Information related to sealed sources: Destroy 5 years after final disposition of source (10 CFR 35(d)(g)). b. Records of radioactive waste disposal: Maintain on site. Destroy upon termination of license, following NRC instructions (10 CFR 20.210(b)(4)).

920-09. Personnel Dosimetry Files. Information on recording and reporting external or internal exposure to ionizing radiation. Included are records of all dosimeters processed for evaluation, consolidated reports of dosimeter evaluations, DD Form 1141, "Record of Occupational Exposure to ionizing Radiation," and similar information. This file contains information protected under the Privacy Act of 1974 (WUSU10, WUSU13). Disposition: a. Administrative data pertaining to administering program, and individual requests maintained: Destroy 5 years after the individual terminates from USUHS (10 CFR 20.2104(f)). b. DD Forms 1141 (or successor): Maintain on site. Destroy upon termination of license (10 CFR 20.2106(f)). c. Bioassay Data and Calculations: Maintain any positive results on site and destroy when 75 years old. Negative results may be destroyed when 5 years old (10 CFR 20.2106(f)).

920-10. Radiation Safety Committee Files. Information relating to review, evaluation and approval or disapproval of the use of sources of ionizing radiation; procedures and conditions controlling such uses; and qualifications of individual users. Included are minutes of meetings, recommendation pertaining items considered by the committee and similar information.

Disposition: Maintain on site. Destroy upon termination of license (10 CFR 20.2102(b)).

920-11. Radiation Inspections. Information that supplements surveys at local levels. It evaluates and provides guidance on eliminating potential hazards using radiation sources. Such inspections shall be provided by the Nuclear Regulatory Commission, Department of Defense, or other Federal Agencies.

Disposition: a. NRC Inspections: Maintain on site. Destroy upon termination of license, following NRCD guidelines (10 CFR 20.2102(b)). b. Other Inspections: Destroy when 5 years old or on completion of the next comparable survey, whichever is sooner (10 CFR 20.2102 (b)).

920-12. Radiation Incident Files. Information about investigating and reporting cases of overexposure of individuals and the environment to ionizing radiation; and comparable incidents involving radioactive materials. Included are telegraphic reports of incidents, reports of overexposure, ALARA investigations, laboratory spills, reports of loss or theft of radioactive materials, and similar information. This file contains information protected under the Privacy Act of 1974 (WUSU11).

Disposition: a. Overexposure and ALARA reports. Maintain on site. Destroy when 75 years old (10 CFR 20.2106(f)). b. Other Reports: Destroy when 30 years old (10 CFR 20.2106(f)).

920-13. Radioactive Material Licensing. Information relating to obtaining a Nuclear Regulatory Commission License to procure and use ionizing radiation sources. Included are license applications, coordinating actions, licenses, permits, and amendments thereto, and similar information.

Disposition: Maintain on site. Destroy upon termination of license.

920-14. Instrument and Source Calibration Files. Information on calibrating radiation sources and instruments that measure radiation. Included are calibration logs, manufacturers and locally developed calibration forms, records pertaining to calibration frequency, and similar information.

Disposition: a. Calibration Certificates: Destroy 3 years after disposal of the related radiation sources (10 CFR 20.2103). b. Logs and other papers: Destroy when 5 years old (10 CFR 20.2103(a)).

920-15. Bioenvironmental Engineering Case Files. These files consist of records created in the course of monitoring health and safety conditions in the workplace and include annual health and safety survey reports, occupational exposure evaluations, assessments and controls data, hazardous material and agent information, and environmental assessments and worksite management practices (WUSU14).

Disposition: Review each file at the end of the calendar year and cut off inactive materials; retire in the CFA for 10 years and retire to WNRC; destroy 40 years after cut off (20 or 29 CFR 1910-20).

920-16. Hazardous Waste Manifests. These files are maintained in the Bioenvironmental Engineering Branch and consist of internal manifests of hazardous material disposal.

Disposition: a. Internal manifests. Destroy when 5 years old (40 CFR 262.40). b. DD 1348-1, "Released/Receipt Document." Maintain on site. Destroy upon termination of license, following EPA guidelines.

920-17. Bioenvironmental Engineering (BEE) Database. Computer database for management of BEE information such as chemical inventories, facility utilization, workload scheduling and other such information pertinent to monitoring ongoing programs. Backups are performed weekly.

Disposition: Delete information in the database when no longer needed. (920-08 for related records.)

920-18. Log and Summary of Occupational Injuries and Illnesses (USUHS Form No. 200, or successor). Records injuries and illnesses and notes of the extent and outcome of each case. Not every injury or illness occurring in the workplace is recordable.

Disposition: Maintain on site. Destroy when 75 years old.

920-19. Supervisor's Report of Accident. Consists of EHS Form 6012 (or successor), "Supervisor's Report of Accident," which serves as an additional record of information pertaining to on-the-job injuries or incidents.

Disposition: Maintain on site. Destroy when 75 years old.

921. MULTIDISCIPLINE LABORATORIES (MDL)

The MDL is the home base of operations for the medical students including a laboratory work and studying area.

921-01. The National Board of Medical Examiners (NBME) File. Comprehensive Part I and Part II given twice a year to second-year medical students. Also includes subject examinations given throughout the year to first through fourth-year medical students. These tests function as elements of the certification process for medical licensure and as measures of academic achievement in individual disciplines. Assistant Dean, Teaching and Research Support and MDL are responsible for the administration and security of all NBME test materials from the date of receipt to the date of their return to the National Board. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: a. Executive Chief Proctor (Teaching and Research Support (TRS)) Chief Proctor (MDL): General correspondence with the Board, orders for tests, correspondence to staff and faculty concerning examinations and preparation for proctoring of examinations, internal memos to request the test sites be in order, and bills for the examinations: Destroy 5 years after exam is administered. b. Registrar's Office: Individual scores, class records, composite lists, statistical information, and Departmental information (some of this information is on tape); general correspondence from prior years held in Registrar's Office consolidated with TRS: Cut off upon GTWD of student; hold in the CFA 20 years; retire to the WNRC; destroy after 50 years. c. Academic Departments: Refer to USUHS Schedule Number 912-09. d. Board of Medical Examiners: Original answer sheets and booklets are returned to NBME.

921-02. Anatomical Gift Program Files. Files on individuals who plan to have or have donated their bodies to medical science. Consists of original legal documents of certificate of Body Donation or Certificate of Body Donation by Next of Kin; and State Death Certificate Burial-Transit Permit, and Authority to Cremate. Also contained in folder are Report on Medical history, vital statistics request for Medical/Dental Records Death Call Worksheet, Lab Reports, Authority to Cremate, copies of all correspondence.

Disposition: a. Individual donor case files (accepted) cut off upon cremation and/or interment of donor's remains or their return to next-of-kin; hold files in Anatomical

Teaching Laboratories for 5 years, then retire to the WNRC; destroy 75 years after cut off. b. Individual donor case files (pending). Review periodically. Destroy any files when no longer needed.

922. CIVILIAN PERSONNEL ACADEMIC APPOINTMENT SECTION

These files are maintained in the Academic Appointment Section, which prepares appointments, promotions, and tenure materials. Not to be confused with the OPF 202-12 or the Office Personnel Information Files (202-07.).

922-01. Visa Files on Foreign National Employees. Correspondence, memorandums, reports, forms and other types of correspondence regarding individual visa applicants. Visa applications are copies.

Disposition: Cut off after separation. Retire to the WNRC 10 years after cut off. Destroy 10 years after retirement to the WNRC.

922-02. Faculty Curriculum Vitae Files (NI-330-95-2). These files contain curriculum vitae, faculty appointment letters, reappointment letters and departmental memoranda for both billeted military and adjunct non-billeted military and civilian faculty members. The files are arranged alphabetically in a central file. It is the only place to locate some information on adjunct faculty; other information may be duplicated in the OPF. This file contains information protected under the Privacy Act of 1974 (WUSU03). (For disposition of electronic database files, 916-02.)

Disposition: Update periodically. Cut off after termination of faculty member, hold in the CFA 5 years and retire to WNRC. Destroy 20 years after retirement.

922-03. Faculty Indexes. These are index cards that include name, address, Department and title, and date of appointment of individuals holding academic appointments at USUHS. Maintained for convenience and reference in the Civilian Personnel Directorate.

Disposition: Update periodically; destroy when no longer required for reference.

922-04. Individual Faculty Case Files Who Work Outside of USUHS. Consists of copies of USUHS Form 1006 (or its successor), "Request for Approval of Outside Activity," which is used to request permission for employment outside of the USUHS facility, and USUHS Form 1013 (or its successor), "Report on Outside Activity," which is completed by September 10 of that year's activities.

Disposition: Cut off after separation. Destroy 3 years after cut off.

923. ADMINISTRATIVE FILES

These files relate to the performance of routine administrative functions not covered elsewhere in this schedule.

923-01. Weekly Activity Report. Activities of all departments in the University compiled weekly.

Disposition: a. Memoranda submitted by the Deputy Dean's OASD(HA). Destroy when 1 year old. b. Memoranda from Departments submitted to Deputy Dean. Destroy when 4 months old. c. Departmental copies. Destroy when 1 year old.

923-02. Suspense Files. Facilitative records such as suspense files.

Disposition: Destroy when 2 years old, or when no longer needed, whichever is sooner. GRS 23, Item 1

923-03. Tracking and Control Records. Facilitative records such as tracking and control records.

Disposition: Destroy when 2 years old, or when no longer needed, whichever is sooner. GRS 23, Item 1

924. UNIVERSITY HEALTH CENTER MEDICAL RECORDS

These files are maintained in the Student Health Clinic that cares for students and student spouses.

924-01. Student Medical Records. Health records for students and their dependents, and military faculty used until the time of graduation/termination. These records contain information protected under the Privacy Act of 1974 (WUSU06).

Disposition: Release to students and spouses upon graduation or retire. Records released to faculty upon reassignment, retirement or resignation.

924-02. Health Unit Control Files. Logs or registers reflecting daily number of visits to health center, and results of lab tests.

Disposition: a. If information is summarized on statistical report: destroy 3 months after last entry (GRS 1, Item 20(a)). b. If information is not summarized: destroy 2 years after last entry (GRS 1, Item 20(b)). c. Log books (Lab and Pap) containing results of laboratory tests, destroy 6 years after date of last entry. GRS 1, Item 19

924-03. Quarter's Log. Listings of all students and active duty personnel who are put on quarters while under treatment for illness. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Destroy 5 years after last entry in log.

924-04. Student Photo File. Maintained for ease of identification.

Disposition: Destroy when 5 years old or when no longer needed. GRS 21, Item 2

924-05. Student Name and Address Log. Alphabetical list of students by year with their name, address, telephone number and social security number, maintained for convenience. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Destroy when superseded.

924-06. Medical Students I and Medical Students II Class Schedules. This file consists of duplicate copies of class schedules maintained for ease of reference.

Disposition: Destroy at end of academic year.

924-07. Wound Data and Munitions Effectiveness Team (WDMET) System. Collection includes textual, non-textual, and electronic records (does not include artifacts, such as shell fragments, bullets, etc.) (NI-330-95-1).

924-07.1. WDMET case files on wounded soldiers consisting of summary sheets, series of body diagrams, descriptions of weapons, medical data treatments information, and other related records.

924-07.2. WDMET reel-to-reel recordings (original and preservation copies) consisting of recorded interviews with witnesses to the wounding as well as with troops generally in the area.

924-07.3. WDMET slides of wounds.

924-07.4. WDMET X-rays of wounded soldiers.

Disposition: Items 924-07.1. through 924-07.4.: Permanent. Transfer immediately to National Archives when no longer needed for current business.

924-07.5. Electronic database of information extracted from WDMET case files.

Disposition: Permanent: a. 1987-1994: Transfer a copy of the database files to the National Archives no later than December 31, 1994. b. 1994-thereafter. Every 3 years, check the database to if there have been any updates to the records. If the database files are updated, transfer updated copy of the database files to the National Archives (i.e., if updates are made in the next 3 years the next transfer would be made prior to December

31, 1997).

NOTE: 1. If updated copy of the index includes all records in the previous transfer of the index - with no changes - plus additional new records, once the latest transfer of the index has been preservation-copied by the National Archives, NARA shall destroy the previous transfer of the index as duplicate material. 2. All transfers of data shall be done in accordance with 36 CFR 1228.

924-07.6. System documentation for database of information extracted from WDMET case files.

Disposition: Permanent. a. 1987-1994: Transfer a copy of the documentation for the electronic files cited in 924-07.5. (Note 1.), above, along with the first transfer of the electronic files. b. 1994-thereafter: Transfer an updated copy of the documentation with each subsequent transfer of electronic files in 924-07.5. (Note 2.).

NOTE: All transfers of documentation shall be done in accordance with 36 CFR 1228.

924-07.7. Electronic index to WDMET Slides.

Disposition: Electronic Files: Permanent. a. 1987-1994: Transfer a copy of the index files to the National Archives no later than December 31, 1994. b. 1994-thereafter: Every 3 years, check the index to see if there have been any updates to the records. If the index is updated, transfer updated copy of the index to NARA (i.e., next transfer would be made prior to December 31, 1997). NOTE: 1. If updated copy of the index includes all records in the previous transfer of the index - with no changes - plus additional new records, once the latest transfer of the index has been preservation-copied by the National Archives, NARA shall destroy the previous transfer of the index as duplicate material. 2. All transfers of data shall be done in accordance with 36 CFR 1228.

924-07.8. System documentation for electronic index to WDMET slides.

Disposition: Permanent. a. 1987-1994: Transfer a copy of the documentation for the electronic files cited in 924-07.7. (Note 1.), above, along with the first transfer of the electronic files. b. 1993- : Transfer an updated copy of the documentation with each subsequent transfer of the electronic files in 924-07.7. (Note 2.).

NOTE: All transfers of documentation shall be done in accordance with 36 CFR 1228.

924-07.9. Electronic Index to WDMET slides.

Disposition: Permanent. a. 1987-1994: Transfer a copy of the index files to the NARA no later than 31 December 1994. b. 1994-thereafter: Every 3 years, check the index to see if there have been any updates to the records. If so, transfer updated copy to the NARA (i.e., if updates are made in the next 3 years, the next transfer shall be made prior to December 31, 1997). NOTE: 1. If updated copy of the index includes all records in the

previous transfer - with no changes - plus additional records, once the latest transfer has been preservation-copied by the National Archives, NARA shall destroy the previous transfer as duplicate material. 2. All transfers of data shall be done in accordance with 36 CFR 1228.

SERIES 1000

ASSISTANT SECRETARY OF DEFENSE (LEGISLATIVE AFFAIRS) (ASD(LA))

1000. LEGISLATIVE AFFAIRS

General (NC1-330-77-8). The Assistant Secretary of Defense (Legislative Affairs (ASD(LA))) is responsible for the DoD relations with Congress, the designation and appearance of witnesses, coordination of the DoD-supported congressional travel, processing of security requests for congressional consideration of the legislative program of the Department of Defense. Unless otherwise indicated, permanent files shall become available to the NARA when 30 years old.

1001. RESERVED (103., Common Mission Files.)

1002. LEGISLATIVE PROGRAM FILES

The following files, 1002-01. through 1002-07., are identical in content, each representing the legislative program of different organizations in the Department of Defense. They consist of legislative programs (in their particular areas), letters from and to congressional committees or individual members, monitoring of the programs, and coordinating legislative activities in consultation with the OASD(LA).

1002-01. Legislative Programs. (Defense Research and Engineering, Defense Advanced Research Projects Agency).

1002-02. Legislative Programs. (Comptroller, Defense Civil Preparedness Agency).

1002-03. Legislative Programs. (Installations and Logistics, Defense Supply, Defense Contract Audit, and Defense Mapping Agencies).

1002-04. Legislative Programs. (International Security, Program Analysis and Evaluation, Defense Security Assistance Agency).

1002-05. Legislative Programs. (Chairman of the Joint Chiefs of Staff, DIA, NSA, Intelligence, Public Affairs).

1002-06. Legislative Programs. (Manpower, Reserve, and Health Affairs).

1002-07. Legislative Programs. (Atomic Energy, Defense Nuclear Agency, Defense Communications Agency).

Disposition: Permanent. Retire to the WNRC 3 years after program completion.

1002-08. Research and Administration

1002-08.1. Documents on the arrangements for the DoD-supported travel for members of Congress and congressional staffs. Requests from Congress for support, support evaluation for conformance with policy and appropriate referral to Military Departments for execution.

Disposition: Destroy when 1 year old.

1002-08.2. Documents arranging security clearance of members of congressional staff.

Disposition: Destroy 1 year after staff member leaves his or her assignment.

1002-08.3. Legislative Research Files.

1002-08.3.1. Documents briefly describing history of proposed or impending legislature for edification of the DoD officials.

Disposition: Legislative research permanent. Retire to the WNRC 5 years after no longer current.

1002-08.3.2. Statistics that are accumulated to support responses to congressional inquiries. They are not record copies.

Disposition: Destroy when no longer required.

1002-08.3.3. Congressional Records and Congressional Hearings.

Disposition: Destroy when superseded, obsolete, or no longer required for reference, as prescribed for documents maintained in accordance with 103-08.3.

1002-08.3.4. Daily summaries of items of interest to the Secretary of Defense.

Disposition: Destroy when 5 years old.

1002-08.4. White House Staff Correspondence. Correspondence exchanged with White House staff on matters of legislative interest. Weekly reports to the White House on status of the DoD legislation.

Disposition: Permanent. Retire to the WNRC when 5 years old.

SERIES 1100

UNDER SECRETARY OF DEFENSE FOR INTELLIGENCE (USD(I))
ASSISTANT SECRETARY OF DEFENSE FOR NETWORKS AND INFORMATION
INTEGRATION (ASD(NII))

1100. COMMAND, CONTROL, COMMUNICATIONS AND INTELLIGENCE (C3I)

These files pertain to ASD(NII) and its responsibility for ensuring the reliability, survivability, security, and cost-effectiveness of C3I systems for the Department of Defense and the National Military Command System (NMCS). Unless otherwise indicated, all permanent records retired to the WNRC shall become available for transfer to the NARA when 30 years old. Depending upon volume, files may be further subdivided by the use of a decimal numerical suffix. NOTE: Those files pertaining to intelligence programs, surveillance and reconnaissance, signals intelligence, and resources shall be found under the applicable 500-series entries.

1101. SECURITY POLICY (was 306) (NC1-330-77-13)

1101-01. International Security

1101-01.1. Security policy, directives, and guidelines on NATO or other international defense treaty members.

Disposition: Permanent. Transfer to the WNRC when superseded or canceled.

1101-01.2. Directives on support for NATO classified couriers and policy supervision for the U.S. Central Registry.

Disposition: Permanent. Transfer to the WNRC when superseded or canceled.

1101-01.3. International General Security of Information and/or Industrial Security Procedures with Allied defense forces regarding security policy, operation, and arrangements of a security nature.

Disposition: Permanent. Transfer to the WNRC when superseded or canceled.

1101-01.4. International Pact Organizations (IPO) (NATO, (Central Treaty Organization, or Southeast Asia Treaty Organization) compromise cases by U.S. and non-U.S. holders.

Disposition: a. Dispose of records on the compromise of Top Secret defense information or equivalent with all associated case papers, including corrective action taken 10 years after cut off. b. Dispose of similar material relating to the compromise of Secret defense

information or equivalent 5 years after cut off. c. Dispose of all other such material 2 years after cut off. Submit SF 135 for authority to destroy. d. Retain a., b., and c., above in file 1 year after cut off. Have U.S. Central Registry microfilm for retention and disposition as above (destroy pages microfilmed after determination that film is a substitute for paper).

1101-01.5. Inspection reports by U.S. Central Registry of U.S. holders of North Atlantic Treaty Organization (NATO), Central Treaty Organization (CENTO), and Southeast Asia Treaty Organization (SEATO) information.

Disposition: Destroy 5 years after cut off.

1101-01.6. Inspection reports by NATO Office of Security of non-U.S. holders of NATO, CENTO, and SEATO information.

Disposition: Destroy 2 years after cut off.

1101-01.7. Inventory reports of U.S. holders of NATO, CENTO, and SEATO information.

Disposition: Destroy 2 years after cut off.

1101-01.8. International Pact Organizations (IPO) (NATO, CENTO, or SEATO) security policy working papers.

Disposition: Retain until superseded by final IPO regulations and/or documents, then destroy.

1101-01.9. IPO (NATO, CENTO, or SEATO) security policy directives, regulations, or guidelines on security policy.

Disposition: Retain until canceled or superseded, then destroy.

1101-01.10. Comments and/or inputs to IPO security policy directives, regulations, or guidelines on security policy.

Disposition: Retire to the WNRC 2 years after completion and or/final decision of all agenda items.

1101-01.11. IPO Committee and/or Groups - Minutes of Meetings.

Disposition: Destroy 2 years after completion and/or final decision of all agenda items.

1101-01.12. Security Policy (security clauses) comments and/or inputs to international agreements, memos of understanding (MOU), technical arrangements, etc. (another office of primary responsibility (OPR)).

Disposition: Retire to the WNRC 5 years after termination cancellation, or superseded agreement, MOU, etc. for permanent retention.

1101-01.13. Security surveys and/or assessments of foreign countries.

Disposition: Retire to the WNRC 5 years after termination of existing agreements with country for permanent retention.

1101-01.14. Security Policy comments and/or inputs to NDPC papers, including exceptions to policy, annual reviews, foreign military sales, meetings, or directives.

Disposition: Retire to the WNRC 2 years after resolution and/or publication of final document. Transfer to NARA when 30 years old.

1101-01.15. Congressional correspondence resulting from inquiries, investigations, or other action by members of Congress that establishes or defines policies, plans, program objectives, or responsibilities.

Disposition: Retire record copies for permanent preservation members to the WNRC 1 year after case is closed. Destroy duplicate copies and associated non-record material 1 year after the close of the case unless part of the case file.

1101-01.16. Travel arrangements.

Disposition: Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

1101-01.17. Discovery of Electronic Surveillance Files. Case files on those individuals and/or organizations on which to base their reply to court-approved motions for discovery of electronic surveillance. Letters of request, directives to the DoD Components to conduct search, and responses are included.

Disposition: Destroy when 15 years old. Transfer to the WNRC 2 years after completion of project.

1101-02. Industrial Security Clearance Review

1101-02.1. Policy, directives, and general administrative documents on the Industrial Security Clearance Program.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for files maintained in accordance with series 103-01.

1101-02.2. Reviews and investigates reports on issuance of, or continuation of clearance.

Disposition: Retire to the WNRC 5 years after no longer active. Destroy 20 years later (NC1-330-77-13).

1101-02.3. Adverse action on investigative reports.

Disposition: Retire to the WNRC 5 years after no longer active. Destroy 20 years later (NC1-330-77-13).

1101-02.4. Hearings from applicants for supporting eligibility for access authorization.

Disposition: Retire to the WNRC 5 years after no longer active. Destroy 20 years later (NC1-330-77-13).

1101-02.5. Redacted copies of final Screening Board (opinions, Examiners, and Appeal Board opinions and motions).

Disposition: Retain in the OSD. Review for disposition in 20 years (NC1-330-77-13).

1101-03. Security Plans and Programs

1101-03.1. Policy and procedures in the form of directives and guidance to the military and civilian security programs of the DoD Components including investigative and physical security matters.

1101-03.2. Liaison documents with other U.S. security agencies coordinating policy and procedures.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for files maintained in accordance with the provisions of series 103-01.

1101-04. Information Security

1101-04.1. Policy, standards, and criteria for security classification, classification downgrading, and declassification of information within the Department of Defense and industry, and for identification of military technological information requiring security protection.

1101-04.2. Directives for management documents that administer the DoD Classification Management Program.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete,

as prescribed for documents maintained in accordance with the provisions of series 103-01.

1101-04.3. Documents on DoD participation in the Interagency Classification Appeals Panel.

Disposition: Permanent. a. Cut off documents described above when no longer needed for current operations and retire to the WNRC 5 years after cut off, or when the committee is abolished, as prescribed for documents maintained in accordance with the provisions of series 103-06. b. Routine feeder reports, destroy when no longer needed.

1102. COMMAND AND CONTROL FILES

1102-01. Concepts and Strategy

1102-01.1. Documents that develop and coordinate command and control policies in implementing directives that define the functional, organizational, operational relationship between all elements of the Worldwide Military Communications System (WWMCCS) and establish responsibilities for the management, development, acquisition, and operation of WWMCCS.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1102-02. WWMCCS 4 Architecture. Documents providing policy and guidelines, compatible interfaces between systems, and computerized data format standards. Networks configuration and systems designs.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1102-03. Combat Support Plans for the allocation of development and acquisition resources between the various areas comprising Combat Support. Documents managing the preparation and coordination of major development activities in Combat Support. Reviews of development and production programs. Documents of the Research and Development Subgroups of the DoD Advisory Committee on Federal Aviation, which coordinates programs of interest to the FAA, Department of Defense and the Military Departments. Committee agenda and minutes of meetings.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1103. COMMUNICATIONS

1103-01. Development and Acquisition

1103-01.1. Documents developing telecommunications objectives, policies, plans and programs. These are in the form of National Communications System (NCS) instructions pertaining to the unified technical planning and operational guidance. Procedural arrangements and reports necessary to develop the NCS.

1103-01.2. Development of a 10-year DoD plan to implement the NCS plan including the budgetary requirement to acquire equipment and operate the system.

1103-01.3. The development of evaluation criteria to measure the effectiveness of the equipment (hardware), the programs which operate the equipment (software), and the system from the standpoint of reliability, survivability, and security.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with file series 103-01.

1103-02. RESERVED

1103-03. RESERVED

1103-04. RESERVED

1103-05. Teleprocessing

1103-05.1. Policy on the computer science aspect of teleprocessing. Data terminal standards and operational procedures. Modem or Data Set criteria and selection. Networking (the technique of optimizing service through the intelligent linking or remote stations by communications lines).

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with file series 103-01.

1103-05.2. Informal Liaison with Teleprocessing Industry. (The 1600. series in this Instruction for additional information.) Technical literature, pamphlets, price lists, and similar data.

Disposition: Destroy when superseded, obsolete, or no longer required for reference, as prescribed for documents maintained in accordance with file series 103-01.3.

1104. TECHNICAL POLICY OPERATIONS

1104-01. Technical Policy Operations

1104-01.1. Documents that establish DoD policy with respect to overall aspects of telecommunications besides WWMCCS. This includes such telecommunications matters as camp, post, base, and station telecommunications; fixed and/or transportable non-DCS telecommunications not organic to military forces, telecommunications security (COMSEC), radio navigation, and special cases.

1104-01.2. Files documenting contact on telecommunications matters with organizations external to the Department of Defense such as the FCC. These documents include such matters as assignment of frequencies, interference, availability of commercial networks, policy and procedures for national communications and similar matters.

1104-01.3. Reviews, evaluations, and coordinations of DoD operations plans and programs in all areas or telecommunications.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with file series 103-01.

SERIES 1200

ACQUISITIONS

1200. ACQUISITIONS (NC1-330-77-11, except where otherwise indicated)

These files pertain to the policy and support necessary for the effective and efficient operation of the logistic activities of the Department of Defense including procurement, production, supply, installations, construction, real property, facilities, housing, maintenance, transportation, distribution, support, and related logistics services.

In no event may disposal be made of records on accounts, claims or demands involving the Government of the United States that have not yet been settled or adjusted by the GAO without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed before the disposal of the title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties that were sold by the Government. In many instances, lands acquired by the Government are disposed of in different sized parcels, and if the Government retains the title to any portion the title evidence should be retained.

Unless otherwise indicated, records of this series scheduled for permanent retirement shall be transferred to the National Archives when 30 years old.

1201-01. 1201-08. Reserved (103., Common Mission Files.)

1201-09. Procurement Files. General.

1201-09.1. Procurement files (as described in 1201-09.4., below) involving transactions as well as the initiation and development of transactions that deviate from established precedents on general agency procurement or to major procurement programs.

Disposition: Permanent. Retire to the WNRC when 8 years old.

1201-09.2. Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).

Disposition: a. Records pertaining to property acquired after December 31, 1920, other than abstract or certificate of title, dispose of 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. b. Abstract or certificate of title, transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. GRS 3, Item 1

1201-09.3. Correspondence files of procurement operating units on their internal operation and administration that are not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old.

1201-09.4. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers.

1201-09.4.1. Procurement or purchase organization copy, and related papers.

1201-09.4.1.1. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.

Disposition: Destroy 6 years and 3 months after final payment. GRS 3, Item 3a(1)(a)

1201-09.4.1.2. Transactions of \$25,000 or less and construction contracts under \$2,000.

Disposition: Dispose of 3 years after final payment. GRS 3, Item 3a(1)(b)

1201-09.4.2. Obligation copy.

Disposition: Destroy when funds are obligated. GRS 3, Item 3b

1201-09.4.3. Copies of contracts, requisitions, leases, and other papers with duplicates of papers defined in item 1201-09.4.1., above, used by Component elements of a procurement office for administrative purposes.

Disposition: Destroy upon termination or completion. GRS 3, Item 3c

1201-09.5. Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of the DoD reports reflecting procurement under exemptions authorized under applicable regulations.

1201-09.5.1. Copies received from other units for internal purposes or for transmission to staff agencies.

Disposition: Destroy when 2 years old. GRS 3, Item 4a

1201-09.5.2. Copies in other reporting units and related work papers.

Disposition: Destroy when 1 year old. GRS 3, Item 4b

1201-09.6. Records on the planning and execution of procurement programs, including records on printing, binding, duplicating, and distribution or publications and other items of supply and paper not covered elsewhere in these schedules.

Disposition: a. Destroy files relating to the accomplishment of the job - requisitions, bills, samples and related correspondence and papers - 3 years after completion or cancellation of requisition. GRS 3, Item 6a. b. Destroy manuscripts other than the official record copy used in the production phase as well as associated production clearances and proofs 1 year after acceptance of job. c. Destroy files pertaining to publications program planning, production standards, costing and related records 3 years after superseded, completion or revision of the program or standard. d. Destroy registers used to control work orders or requisitions 1 year after close of fiscal year.

1201-10. Bid files

1201-10.1. Successful bids

Disposition: Destroy with related contract case files (series 1201-09.). GRS 3, Item 5a

1201-10.2. Unsuccessful bids.

Disposition: Dispose of in accordance with the provisions of series 1201-09.

1201-10.3. Lists or cards of acceptable bidders.

Disposition: Dispose of when new list or card is made.

1201-11. Sales and Disposal of Surplus Property

1201-11.1. Case files on sales of surplus personal property and real property comprising invitations, bids, acceptances, lists of material, evidence or sales and related papers involving transactions and other papers that document the initiation and development of transactions that deviate from established precedents on major disposal programs.

Disposition: a. Record copies, including related material, are permanent. Cut off when case is closed, retire to the WNRC after 3 years. b. Destroy duplicate and non-record material upon file cut off. c. Files not covered here should be disposed of under 1202-11.3.

1201-11.2. Case files on disposal of surplus real and related personal property (as described in 1201-11.1., above).

Disposition: a. Record copies, including related material, are permanent. Cut off when case is closed and retire to the WNRC after 3 years. b. Destroy duplicate and non-record material when files is cut off.

1201-11.3. Case files on sales or surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 1201-11.1. and 1201-11.2.).

1201-11.3.1. Transactions of more than \$25,000.

Disposition: Destroy 6 years after final payment. GRS 4, Item 3a

1201-11.3.2. Transactions of \$25,000 or less.

Disposition: Destroy 3 years after final payment. GRS 4, Item 3b

1201-12. Standards. Records on the development and establishment of standardized specifications, standards, and nomenclature of items of supply used in military or civilian production and supply matters.

Disposition: a. Retire record copies, including development papers, coordination records and other related and associated record material 6 months after acceptance and promulgation or specifications, standard item description, and identification for permanent preservation. b. Destroy inactive project files 3 years after file cut off. c. destroy duplicate case material used in the development of standards, specifications, and item descriptions when official promulgation has been made.

1201-13. Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided:

1201-13.1. The records can be segregated without harm to other documents or enduring value;

1201-13.2. No responsibility attached to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance; and

1201-13.3. If the property is released for historical use or purpose, the user agrees to retain it and return it to the Federal Government immediately upon the discontinuance or its use for historical purposes.

Disposition: Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage. GRS 4, Item 4

1201-14. Facility Records. Records on overall program planning on acquisition, care, maintenance, construction, allocation, transfer, and release of real property.

Disposition: a. Retire record copies 3 years after file cut off for permanent preservation. b. Destroy duplicate and non-record material when file is cut off unless part of a case file.

1201-15. Space Management. Records on the allocation, utilization, and release of space under Departmental control and related reports to the GSA.

Disposition: a. Dispose of building plan file and related department records relating to space utilization, planning assignment and adjustment 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or become obsolete. b. Dispose of records supporting and copies of reports submitted to GSA regarding space occupied in Metropolitan Washington and outside the District of Columbia 2 years after annual file cut off. c. Destroy space plan file and related records used in space planning, assignment and adjustment of space allocated to the OSD 2 years after annual file cut off. d. Destroy record copies supporting reports submitted to the DoD space control activity regarding space occupied by OSD 1 year after annual file cut off. e. Dispose of correspondence files relating to space and maintenance matters of an administrative or operating nature, 3 years after annual cut off.

1202. PROCUREMENT FILES

1202-01. Procurement Policy. Records consisting of decisions, directives, instructions, guidelines, and supporting documentation on the initiation, development, and establishment of procurement policies, standards, criteria, or guidelines. Included are policy matters affecting new techniques and procedures, interpretations, or published regulations, weapons systems procurement, tailoring of contract types, structuring or unique clauses, consistent policy application, Government-wide policy and proposed innovations. To facilitate file access, this file may be subdivided into 1201-01.1. to 1201-01.9.

Disposition: a. Policy files are permanent. Retire to the WNRC when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-01. b. Destroy reproduced copies when superseded or revised, unless part of a case file. c. Destroy reference copies of matters not published by the Department of Defense when no longer required for reference.

1202-02. Procurement Management. These files contain documents governing overall procurement management, administrative review, and improvement progress, development for input to personnel training and career development courses.

Disposition: a. Retain review procedures until superseded, then destroy. b. Destroy review or progress reports when superseded or all necessary action completed. c. Destroy career development and training programs upon inactivation.

1202-03. Procurement Analysis and Planning. These files consist of analyses and reports of existing policies, possible improvements and modifications, status or foreign procurement policies and procedures, and matters on the U.S./Canadian Productions and Development Sharing Program. Further subdivisions of this file may be made by assigning numbers 1202-03.1. to 1202-03.9., if volume dictates.

Disposition: a. Documents pertaining to possible improvements and modifications may be destroyed when incorporated into approved policy or procedure. b. Documents pertaining to possible improvements which have been disapproved may be destroyed when 3 years old.

1202-04. Small Business and Economic Utilization Policy. Policy files on small business, labor surplus areas, minority business enterprise, and a military procurement information office to facilitate access of information to the aforementioned activities.

Disposition: a. Policy records are permanent. Cut off and retire to the WNRC when superseded, obsolete, or no longer needed for reference, as prescribed for papers maintained in accordance with series 103-01. b. Correspondence, reports, studies, goal statement, and other records, destroy when 3 years old (GRS 3, Item 17). Retire to the WNRC when superseded. Case files are permanent. Retire to the WNRC 3 years after last entry in file.

1202-05. Contract Administration Services. Record copies of coordinating policies and procedural directives, focal point correspondence, monitoring of component contract administration, liaison matters, and plan cognizance program. These are the working files of the office directly responsible for contract administration and monitoring of the activities of the Component elements of the Department of Defense.

Disposition: a. Record copies of coordinating policies and procedural directives pertaining to contract administration are permanent. Cut off and retire to the WNRC when superseded, obsolete, or no longer needed for reference, as prescribed for policy-type documents maintained in accordance with series 103-01. b. Documents related to monitoring, liaison and plan cognizance, cut off when 5 years old and retire to the WNRC; destroy when 15 years old.

1202-06. Defense Acquisition Regulation (DAR): Formerly Armed Services Procurement Regulation Committee Files. These are the files of the committee tasked

with preparation and revisions of the procurement regulations that govern the procurement activities of the Department of Defense. They consist of documents of proposed and approved revisions, coordinations and staffing of changes to the regulations, and circulars to keep procurement activities abreast of current developments. (1201-09., Contract Case Files, and ASPSN.2 Part 5.)

Disposition: a. The record copy is permanent. Cut off when no longer needed for current business and retire to the WNRC. b. Defense Procurement Circulars or changes may be destroyed 1 year after incorporation in the manual. c. Committee case files are permanent and shall be retired to the WNRC when 5 years old. d. Tapes of minutes can be erased after transcription.

1202-07. Contract Support Services. These are files of special projects on contractual matters such as special studies, technical evaluations, and reviews or commercial and industrial contract activities.

Disposition: Cut off and retire to the WNRC when 5 years old; destroy when 15 years old.

1202-08. Defense Property Accountability System (DPAS) Master File. Information system containing data about DoD real and personal property assets to ensure property accountability and financial requirement of the services (Army, Navy, and Marine Corps) and Defense agencies. System allows property accountability, management, and financial reporting. Users can generate general ledger transactions, compute depreciation, perform accountable records processing, report financial status, account for government furnished property, and report disposals. Information in this system is received, processed, and/or transferred electronically from systems representing military and civilian logistics, supply, base operations support, contract administration, business management, finance and accounting, asset tracking, equipment management, facilities, resources infrastructure and data collection. The following data is contained within DPAS: Authorizations; Document registers; Catalog information (received from other systems or user generated for non-NSN items); Hand receipt information (receipts, turn-in, transfers, and inventory tracking and status); Accounting (depreciation and general ledger data); Maintenance and utilization (preventive maintenance schedules and actions, work orders, warranty, loan and lease data); User history data. (N1-330-07-02)

Disposition: Destroy/Delete after the necessary information has been transferred to the subsequent master file and verified, or when no longer needed for legal, audit or operational purposes. Note: For system documentation use 1601-11, system finding aids use 1601-09, and system backup tapes use 1601-08 of this schedule.

1202-09. Defense Property Accountability System (DPAS) Outputs. User generated outputs are asset management reports, inventory reports, maintenance (FEMS), real property (IFS), supply requests, unit readiness, small arms reporting, and accounting transactions and other ad hoc reports.

Disposition: Delete after the expiration of the retention period authorized in this records schedule or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is appropriate. GRS 20, Item 3 (b) (1) and 6

1202-10. Capitol Funds Expenditure Files. Information used to record financial transactions in accounting system general ledger accounts, appropriation allotments, and/or the supporting subsidiary property accountability records and/or systems pertaining to current, expired, and closed accounts, for PP&E transactions included are: Final bid documents; Signed acceptance document by the government; Contract/Other Legal Instrument (i.e., lease); Contract Modifications or Change Orders; Invoices to support the amount accumulated in the CIP account; Indirect Costs incurred internally by the gaining activity that relate to the new acquisition or capital improvement; "FY _ Military Construction Project Data" (DD Form 1391) and work orders to include the design cost during the planning phase; Appraisal results for the donated assets; Transfer documents for transferred assets; "Material Inspection and Receiving Report" (DD Form 250) ; "Interim and final Transfer and Acceptance of Military Real Property" (DD Form 1354) document; and Collection voucher, 6-13 DoD Financial Management Regulation.

Disposition: Destroy/Delete 6 years and 3 months after the closure of the appropriate account or liquidation of all obligations in the closed accounts, whichever is later. GRS 7, Items 2 and 3.

1203. INSTALLATIONS AND HOUSING FILES

These records involving the responsibilities of this office to budget for, construct or acquire, administer, maintain, and dispose of installations and housing as appropriate. Plans, policies, and program administration are involved DoD-wide.

1203-01. Facilities Planning and Programming. Documents on policy criteria review, analysis, program administration of such matters as housing programs (family and bachelor), home owner assistance, real property, military construction and housing budgeting, and legislature.

Disposition: a. Policy records are permanent. Retire to the WNRC when superseded, obsolete, as prescribed for documents maintained in accordance with series 101-01. b. Reviews and analyses, destroy 5 years after superseded by later review.

1203-02. Construction Standards and Design. These files contain documents concerning physical standards and design criteria for DoD facilities, architectural engineering activities, cost standards, environmental pollution control, utility plants, and Base Master Planning matters.

Disposition: Destroy standards and design criteria 5 years after superseded.

1203-03. Construction Operations Files. Documents on base development, construction acquisition systems. Here also can be found congressional correspondence on construction.

1203-03.1. Congressional correspondence.

Disposition: Record copy is permanent. Retire to the WNRC when 3 years old.

1203-03.2. Documents on surveillance or acquisition.

Disposition: Destroy 7 years after last entry.

1203-04. Facilities Management Files. Administrative procedures, directives, correspondence, studies required to manage real property facilities, natural resources, and Public Domain Lands.

Disposition: Permanent. Cut off when superseded or obsolete and retire to the WNRC, as prescribed for policy-type documents maintained in accordance with series 103-01.

1204. SUPPLY, MAINTENANCE AND SERVICES FILES

1204-01. Supply Management Policy. Records consisting of decisions, Directives, instructions, guidelines and supporting documentation on the initiation, development, and establishment of supply policies of the Department of Defense. Included are policy matters affecting provisioning; its cataloging, distribution, utilization, and disposal; systems effectiveness, foreign aid, and resources for supply system operations. Automated Logistic Systems functions and related files as controlled by this office.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1204-02. Transportation and Warehousing Policy Files. Records consisting of decisions, Directives, Instructions, guidelines, and supporting documentation on the initiation, development, and establishment or transportation and warehousing policy. Included are policy matters concerning traffic management, containerization, material handling, international transportation, highways for National Defense, postal transportation, single manager supervision, administrative-use vehicles, storage and warehousing, preservation, and packaging. Correspondence, memos for record, and other communications are filed with applicable policy matters.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1204-03. Maintenance Policy Files. Records consisting of decisions, directives, instructions, guidelines, and supporting documentation on the initiating, development, and establishment of maintenance policies of the Department of Defense. This pertains to documents establishing technical concepts, criteria and latest technology, equipment performance, and readiness and support planning.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1204-04. Subsistence Management Policy. These files have to do with the establishment of policy matters on basic daily food allowances for the Armed Forces, food service and related systems, food equipment, facilities, procurement, and distribution. Fees on training and career development program for food handlers, and for the monitoring of food service accounting and reporting for the Armed Services. To assist in the discharge of those duties a DoD Food Planning Board is sponsored by this office.

Disposition: a. Policy documents are permanent. Cut off and retire to the WNRC when canceled or superseded, as prescribed for documents maintained in accordance with series 103-01. b. Food Planning Board minutes are permanent. Retire to the WNRC when 5 years old. c. Training and career development program records, cut off 3 years after superseded; destroy when 25 years old. d. Food service accounting reports are permanent. Retire to the WNRC when 3 years old.

1204-05. Petroleum Matters Files. Documents on the DoD petroleum policy guidance, systems, and procedures. Inspections reports on surveillance of industry in meeting standards and ability to satisfy defense needs. It also contains documents on products and petroleum facilities. This is also the file location of the Oil Policy Committee Working Group. This committee assists in the formulation of policy and management systems.

Disposition: a. Policy documents are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01. b. Oil Policy Committee Working Group files are permanent. Cut off when no longer needed for current operations. Retire to the WNRC 5 years after cut off or when the committee is abolished, as prescribed for committee papers maintained IAW series 103-06.1. c. Inspection reports may be destroyed 3 years after superseded by a subsequent report, or when 5 years old, whichever is later.

1205. PRODUCTION ENGINEERING AND MATERIEL ACQUISITION

1205-01. Technical Director Files. Technical support documents for the Defense Acquisition Board (DAB), board proceedings, minutes, etc. This board reviews and

makes recommendations on all large system acquisitions for the Department of Defense. Papers that monitor various acquisition programs of the Department of Defense, reports, projections costs, test facilities, etc. Documents on applications engineering and manufacturing technology necessary to perform this mission.

Disposition: a. Committee minutes and proceedings are permanent. Cut off when no longer needed for current operations. Retire to the WNRC 5 years after cut off, as prescribed for documents maintained in accordance with series 103-06.1. b. Supporting documents may be destroyed when no longer needed for current operations, as prescribed for papers maintained in accordance with series 103-06.2.

1205-02. Ships, Weapons, Electronics, and Associated Systems Files. These files contain all the documents necessary to manage subject matter acquisitions or foreign military sales. They include development concepts, program budget decisions, and necessary fiscal and logistics guidance, as well as budget planning figures and approved budget data. Progress towards meeting the planned milestones of the DAB is also monitored and progress recorded in these files. Case files of special interest to the Department of Defense may be included.

Disposition: Permanent. Retire to the WNRC when 7 years old.

1205-03. Aircraft and Missiles Files. These files contain all the documents necessary to manage subject matter acquisitions or foreign military sales. They include development concepts, program budget decisions, and necessary fiscal and logistics guidance. Budget planning milestones of the DAB are also monitored and progress recorded in these files. Inspection reports, studies, and other documents such as technical articles measuring industrial preparedness related to aircraft and missiles are found in these offices. Case files or special interest to the Department of Defense may be included. Documents establishing priorities and allocations are also filed.

Disposition: Permanent. Retire to the WNRC when 7 years old.

1205-04. Industrial Preparedness and Munitions Production Files. Central files of documents on industrial preparedness and munitions production. Inspections or other reports of the ability of industry to respond to defense needs under different postures. Documents describing new manufacturing technology, budget cycle input on related acquisitions, corrective actions necessary, and status thereof.

Disposition: a. Documents relating to industrial preparedness and munitions production are permanent. Retire to WNRC when 10 years old. b. All other documents in this file, retire to the WNRC when 10 years old or superseded by later report; destroy when 20 years old.

1205-05. Product and Production Engineering Files. Documents on quality and reliability, value, and cost engineering. These papers consist of studies, suggestions, standards, programs, and directives to assure reliability, a threshold of quality and value

engineering techniques to minimize costs without loss of quality. Also included are papers on technical data resources, standardization programs, aimed at reducing the variety of product, and product part non-interchangeability.

Disposition: Cut off after 5 years, or when technology or standards are overcome by improvements, whichever is later. Retire to the WNRC and destroy when 15 years old.

1205-06. Management Evaluation and Material Control. Studies, directives, program management papers, and correspondence on management evaluation and material control. Included are the DoD Management Improvement Program, Logistics Performance Measurement and Evaluation System, the Integrated Engineering System Industrial Priorities and Allocations, impact determination (such as may be caused by labor strife or fuel shortage) and related papers.

Disposition: Permanent. Retire to the WNRC when 10 years old or when superseded, whichever is later.

1206. SPECIAL ASSISTANT'S FILES

1206-01. Plans and Programs Files. Studies, plans, correspondence, and Directives necessary to perform objectives of this office. Preparation of strategic studies and plans; budget input, program planning, resource management, and studies of financial aspects of DoD programs issued by or impacting upon the installations and logistics missions.

Disposition: Permanent. Retire to the WNRC when superseded or 10 years old, whichever is later.

1206-02. International Programs. Documents in the nature of studies, reports, agreements, and directives necessary for the management of international programs. Directives managing the Military Assistance Program, cooperative logistic support arrangements with treaty members, international co-production arrangements, NATO Armaments Production and Logistics Programs, International Logistics Systems, and Material Allocations - U.S. versus International Requirements. These files also contain Civil Emergency Planning documents involving logistic plans for this contingency.

Disposition: Permanent. Retire to the WNRC when superseded or when 10 years old, whichever is later.

1206-03. International Cooperative Agreement (ICA) Coordination Files. These files document USD(A&T)'s role as the approval authority for the DoD Components to negotiate and/or conclude international agreements with foreign governments for cooperative research, development, test, evaluation, technical data exchange, and related standardization agreements that are not implemented through the Security Assistance Program; agreements concerning cooperative or reciprocal logistical support, including shared use of equipment, facilities, and services, except for uni-Service matters; and co-

production, licensed production, and related standardization agreements that are not implemented through the Security Assistance Program. These files form a record of DoD/Commerce Department/State Department coordinations on all proposed ICAs. They consist of requests from the Components for authority to negotiate and/or conclude an ICA that include a draft text of the proposed agreement, a legal memorandum explaining the legal basis of the ICA, a fiscal memorandum, a technology assessment and control Plan (TA/CP), an industrial base factors analysis, and a delegation of disclosure authority letter (DDL); staffing and coordination memorandums; and delegations of authority to negotiate and/or conclude the agreements. Also included are requests from DSAA for USD(A&T) coordination for their international agreements; requests from the State Department ("Circular 175 requests") for DoD comments on ICAs between other Executive Branch Agencies and foreign governments; and Notifications of Loan Agreements and Project Agreements from the DoD Components. (NOTE: These files are not to be confused with the international agreement files maintained by the DoD General Counsel (402-05.) or the agreement files described under the common mission series 103-04.)

Disposition: a. Delegations of authority and other documents that state the OSD position on any of the above matters are permanent as well as any substantive correspondence that documents the coordination process. Retire to the WNRC when superseded, obsolete, or no longer needed for current business, as is authorized for policy-type files maintained in accordance with series 103-01.1. and 103-01.2. b. Background materials and correspondence of a transitory nature may be destroyed when no longer needed for reference purposes, as is authorized for such documents when maintained in accordance with series 103-01.3.

1207. ADMINISTRATIVE MATTERS

1207-01. Executive Office Files. Documents necessary for the general administration of this office. Included are the budget preparation, personnel assigned, travel arrangements, message center, review of correspondence, and program surveillance.

Disposition: See the respective 103 series files for budget, personnel, message and correspondence review.

1207-02. Industrial Management and Logistics Audit. Directives, studies, and correspondence reports required to manage the aspects of Installations and Logistics (I&L) functions. Here are filed inspections and audit reports both internally administered or conducted by GAO, management systems, directive procedures and reports; follow-up correspondence to audit reports, check-off procedures, exchanges with the GAO and similar material.

1207-02.1. Directives and policy on Management Systems.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1207-02.2. Audit reports.

Disposition: Retire to the WNRC 2 years after file is closed and all proposed action is completed. Destroy when 10 years old.

1207-03. Logistics System Office. These files contain documents necessary to coordinate logistic function in the Department of Defense; to formulate DoD Logistics Plan with input from Components; to develop, establish, and promulgate logistic policy with the assistance of the Logistics Systems Policy Committee, to sponsor the committee, keep its minutes and working papers; and to initiate a research program and technical system support. The files consist of reports, policy directives, studies, correspondence and the like to accomplish these tasks.

Disposition: a. Retire policy documents to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 101-03. b. Committee minutes are permanent. Cut off when no longer needed for current operations. Retire to the WNRC when 5 years old, as prescribed by documents maintained in accordance with series 103-06.1.

1208. OFFICE OF ECONOMIC ADJUSTMENT FILES

1208-01. Economic Impact Minimization Files. These files contain studies, reports, correspondence, evaluations of the economic impact of proposed or suggested base closures, reduction programs, special problems studies, and possible changes in procurement programs.

Disposition: a. Studies, reports, and correspondence relating to base closure and reduction programs which are the subject of congressional or widespread public interest are permanent. Retire to the WNRC when 5 years old. b. Other files, such as special problems studies and possible changes in procurement programs, cut off when 5 years old and retire to the WNRC; destroy when 20 years old.

1209. ENERGY ENVIRONMENT AND SAFETY

This office coordinates and directs the efforts of the various subordinate offices herein described. Generally, it is charged with coordination for the Department of Defense, with the Council for EPA on matters related to the environmental programs of the Department of Defense. This office is also charged with coordination with the Highway Traffic Safety Administration, National Transportation Safety Board (NTSB), and FAA on matters related to the occupational health and safety programs of the Department of

Defense. Most of these matters originated with national laws that are implemented by Federal regulations promulgated by the above Agencies.

1209-01. Environmental Quality. Documents examining every DoD action that may have environmental ramifications to include analyses of the impact and consideration of courses of action. Examples are base closures, realignments, exercises, operations, construction projects, and land use planning. Documents within this category include:

1209-01.1. Policy issuances.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1209-01.2. Procedures, methodologies.

Disposition: Destroy when superseded or obsolete.

1209-01.3. Environmental Impact Assessments (EIA).

Disposition: Destroy 1 year after completion of the matter assessed.

1209-01.3.1. Environmental Impact Statements (EIS).

Disposition: Destroy 1 year after completion of the action.

1209-01.3.2. Draft and/or Final.

Disposition: Destroy 7 years after completion of the action.

1209-01.4. Negative declarations.

Disposition: Destroy after 1 year.

1209-01.5. Status reports.

Disposition: Destroy after EIA and/or EIS is submitted.

1209-01.6. Annual environmental report incident thereto.

Disposition: Permanent. Retire to the WNRC when 5 years old.

1209-02. Air Programs. DoD programs developed and policy direction implementing air pollution abatement; the identity of all emitters and noncompliance major and minor sources, monitoring the service efforts to bring into compliance. The identification of activities requiring Air Pollution Episode Plans and the assurance that necessary coordination has taken place with local and State officials. Some examples are

programs to control open burning of munitions, ships smoke and tube blowing, coal conversion and jet engine test cells. Documents in this category include:

1209-02.1. Policy issuances, directives.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1209-02.2. DoD comments to proposed Federal regulations.

Disposition: Destroy 5 years after final regulation is promulgated.

1209-02.3. Compliance status on National Pollutant Discharges Elimination System (NPDES).

Disposition: Destroy after 5 years.

1209-02.4. Status reports on compliance, schedules, and programs for compliance with Federal laws and regulations.

Disposition: Destroy after 5 years.

1209-03. Water Pollution Abatement. Programs developed and policy direction implementing Federal regulations pertaining to the Water Pollution Control Act (WPCA), the Coastal Zone Management Act (CZMA), and/or Section 101 of the Safe Drinking Water Act (SDWA). Documents in this series include:

1209-03.1. Policy issuances, directives.

Disposition: Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1209-03.2. DoD comments on proposed Federal regulations.

Disposition: Destroy 5 years after final regulation is promulgated.

1209-03.3. Spill Prevention Control and Countermeasures plans.

Disposition: Permanent. Transfer to the WNRC when superseded.

1209-03.4. Spill contingency plans.

Disposition: Permanent. Transfer to the WNRC when superseded.

1209-03.5. Compliance status on NPDES.

Disposition: Destroy after 5 years.

1209-03.6. Status reports on compliance, schedules and programs for compliance with Federal laws and regulations.

Disposition: Destroy after 5 years.

1209-04. Solid Waste Management. The DoD program to comply with the Solid Waste Disposal Act of 1970; policy in relation to the Act, the implementation of guidelines and the estimation of costs. This includes source separation programs, the storage and collection of waste such as metal and paper, the resource recovery facilities, thermal processing of waste, and the beverage container policy.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1209-05. Categorical Programs. The development of DoD guidelines and policy directives to comply with Federal regulations issued pursuant to the Radiation Health and Safety Act of 1968, the Noise Control Act of 1972, and the Federal Insecticide, Fungicide, Rodenticide Act of 1972.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1209-06. Safety and Occupational Health.

1209-06.1. Policy and guidelines for DoD implementation of Occupational Safety and Health Act (OHSA) of 1970, Executive Order 11807 and appropriate Federal regulations.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1209-06.2. Coordination with and comments to OSHA, NTSB, FAA on proposed standards and regulations, as well as periodic statistical reports.

Disposition: Destroy after 5 years.

1209-06.3. Inspection, abatement, reporting, and budget guidelines for DoD activities.

Disposition: Destroy after 5 years.

1209-07. Energy Policy (NC1-330-79-4).

1209-07.1. Documents on preparing, coordinating, issuing, and interpreting policy, directives, regulatory instructions, and comparable records on the energy program in the Department of Defense.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1209-07.2. Studies reports, analyses made to measure energy conservation, and the effectiveness or current practices or proposed plans.

Disposition: retire to the WNRC when superseded; destroy when 15 years old.

1209-07.3. NATO Energy Files. Documents related to the operation of the Central Europe Pipeline System (CEPS).

1209-07.3.1. Documents that monitor the NATO Tariffs and NATO Budget. These consist of copies of charges paid for pipeline storage and transportation, as well as payments for repairs and maintenance, and copies of the contributions of each NATO nation towards these expenses.

Disposition: Destroy when 3 years old.

1209-07.3.2. Documents that recommend policy on the CEPS operations.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1209-07.4. Defense Energy Information System (DEIS) (NC1-330-81-9). This is a machine-readable record file that is tape-resident. The records consist of inventories of energy products at military installations, the rate of consumption, issue receipts, and transfers.

1209-07.4.1. Magnetic Tapes. (NC1-330-81-9)

Disposition: Permanent. Transfer to the National Archives in 5-year blocks when most recent records are 10 years old.

1209-07.4.2. Hard-copy reports. (NC1-330-81-9)

Disposition: Retire one copy of each report to the WNRC when no longer required for reference; destroy when 15 years old.

SERIES 1300

DIRECTOR, DEFENSE RESEARCH AND ENGINEERING (DDR&E)

1300. DEFENSE RESEARCH AND ENGINEERING (NC1-330-77-15)

These files relate to research and engineering (R&E) and pertain to: Scientific and technical matters; basic and applied research; developments, tests and evaluations of weapons systems, design and engineering, for suitability, producibility, reliability, maintainability, and materials conservation; and environmental services.

1301-01. - 1301-07. Reserved. (Common Mission Files.)

1301-08. Program Files. Documents that describe in a narrative way the objectives of the program, the requirements, characteristics, time schedules including milestones, financial plans, proposals and contracts, the monitoring of the program and related papers necessary to manage the program. These are generally case files of major importance.

Disposition: Permanent. Transfer to the WNRC 5 years after program completion. Make available to the NARA when 30 years old.

1301-09. Project Case Files. These are generally maintained at the laboratory or comparable level, reflecting a complete history of each project from development, design, and testing, to completion. They include (when created by Agency personnel or received from contractors) for research services with addendums; project cards; technical characteristics; test and trial and photographs considered to be essential to document designs, modifications, and engineering developments; technical and progress reports; notice or completion or cancellation, reference to the location of prototype models, films or other items too bulky for inclusion in these files; and course of action taken on a project. These files are generally retained by the Military Services who administer the laboratories such as the Naval Ordnance Laboratory.

Disposition: Permanent. Retire to the WNRC 5 years after program completion. Transfer to the NARA when 30 years old.

1301-10. Administration of Projects. Lists, card indexes, or other media reflecting in an abstract comprehensive manner individual projects administered by the OSD.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Make available to the NARA when 30 years old.

1301-11. Laboratory Notebooks on Technical and Scientific Data Accumulating From the Conduct of Research and Development. These are mostly found in laboratories under the administration of the Head of a DoD Component. The OSD volume is estimated at less than 5 cubic feet per year. See note under item 1301-09.

1301-11.1. Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file.

Disposition: Dispose of 6 months after completion or termination of the related project or projects.

1301-11.2. Notebooks whose data has not been duplicated elsewhere and that would add significantly to the project file. The OSD volume is less than 1 cubic foot per year.

Disposition: Permanent. Transfer to the WNRC when 3 years after program completion. Make available to the NARA when 30 years old.

1301-12. Technical Report Files. Consisting of an official file copy of each technical report, or unpublished manuscript or a report, prepared in connection with a project, article reprints, terminal narratives, statistical and graphic compilations, summarizations, and analyses.

Disposition: Permanent. Transfer the final official report the WNRC 3 years program completion. Make available to the NARA when 30 years old. Retain other technical file material for 3 years, then destroy.

1301-13. Drawing and Specification Files. Consisting of an official file copy of each drawing and specification showing final testing and technical characteristics of items developed. Most of these records are in the custody of the Head of a DoD Component.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old. Volume is small for OSD; estimated at less than 5 cubic feet per year. See note under item 1301-09.

1301-14. Correspondence files of a general administrative or housekeeping nature (exclusive of papers containing scientific or technical data) maintained by offices other than those referred to in item 1301.

Disposition: Destroy when 2 years old.

1301-15. Project control files consisting of copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel, not to be determined by sufficient value for incorporation in project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.

Disposition: Dispose of upon completion or cancellation of projects or earlier, as they serve their purpose.

1301-16. Summary progress reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared there from.

1301-16.1. Copies of reports retained by reporting offices.

Disposition: Dispose of 1 year after completion or cancellation or related projects.

1301-16.2. Feeder reports used for compilation or consolidated reports, except as indicated in 1301-16.3.

Disposition: Dispose of upon submission of consolidated reports.

1301-16.3. Consolidated reports, consisting of an official file copy of each consolidated report and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports.

Disposition: Permanent. Make available to the NARA when 30 years old.

1301-17. Unsolicited Proposals (NC1-330-81-6). Correspondence records from individuals proposing the use of their inventions or suggestions to improve the Defense Department. Files consist of case projects including, if warranted, feasibility studies and investigations.

1301-17.1. Accepted suggestions or inventions of a significant nature, which could later result in litigation.

Disposition: Permanent. Transfer to the WNRC 3 years after case is closed. Offer to the NARA when 30 years old.

1301-17.2. Rejected suggestions or inventions of a significant nature, which could later result in litigation.

Disposition: Transfer to the WNRC when 3 years after last action. Destroy when 30 years old.

1301-17.3. Rejected suggestions or inventions of a significant nature.

Disposition: Transfer to the WNRC 3 years after last action. Destroy when 7 years old.

1301-18. SALT Support. Scientific and engineering support documents directed towards current strategic policy issues associated with discussion alternatives in SALT

and, in addition, scientific and engineering support documents directed towards current strategic policy issues associated with a comprehensive test ban treaty and mutual balanced force reductions with the USSR.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1301-19. Chronological Reading Files

Disposition: See Section 102-16.

1301-20. Congressional Correspondence.

Disposition: See Section 102-18.

1301-21. Transitory Material (NC1-330-80-5). Transmittal documents that add no significant information to material transmitted; routine requests for information, publications, or supplies; documents correcting reports or other minor corrections to records; and courtesy or informational documents that are not needed to document specific functions or actions but are of reference value to the office.

Disposition: Destroy 3 months after monthly cutoff, or when purpose has been served, whichever is sooner.

1302. SPECIAL BOARDS AND COMMITTEES

1302-01. Defense Science Board. Advises the SecDef through the DDR&E on scientific and technical matters of interest to the Department of Defense. Studies directed towards scientific and technical aspects or specific strategies, tactics, and policies as they may affect the U.S. national defense posture.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Make available to the NARA when 30 years old.

1302-02. Net Technical Assessment

1302-02.1. Documents consisting of assessments of current and projected U.S. and foreign military capabilities and evaluating the differences. Documents that develop or provide for the development of specific net assessment of current and projected U.S. and foreign major weapons systems.

Disposition: Permanent. Transfer to the WNRC 5 years after superseded by more current analysis. Make available to the NARA when 30 years old.

1302-02.2. Evaluation reports on the subject of military needs and programs based on existing or potential threats revealed by intelligence analysis.

Disposition: Permanent. Transfer to the WNRC 5 years after superseded by more current analysis. Make available to the NARA when 30 years old.

1302-02.3. Documents that examine intelligence reports and identify voids that require further analysis in the area or foreign military assessment.

Disposition: Permanent. Transfer to the WNRC 1 year after situation has been remedied. Make available to the NARA when 30 years old.

1303. TEST EVALUATION FILES

1303-01. Strategic Naval and C3I Systems. Reviews of test and evaluation (T&E) plans submitted by the Armed Services and assessment of results. Documents that monitor T&Es conducted by the Services for the DAB programs. Reports to the Deputy Secretary of Defense at critical milestones of the T&E cycle. Documents on the tests and evaluation of foreign systems for possible DoD use.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1303-02. Test Facilities and Resources

1303-02.1. Documents providing policy direction and planning guidance concerning the operations and assignment of test programs of the national and major Service ranges such as the weapons ranges, White Sands Missile Range, Proving Grounds, Air Test Centers, etc.

Disposition: Permanent. Transfer to the WNRC when superseded or obsolete. Make available to the NARA when 30 years old.

1303-02.2. Reviews examining the adequacy of the ranges to meet requirements and Directives that ensure the avoidance of duplication. Reports examining the compliance and reviewing the adequacy.

Disposition: Destroy 5 years after superseded by a more current review or directive.

1303-02.3. Record documents of the Major Range and Test Facility Committees. Memberships, charters, agendas, reports, and minutes or meetings.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Make available to the NARA when 30 years old.

1303-03. Tactical Air and Land Warfare. Documents which review Tactical Systems T&E plans, monitor their progress and assess the results. Documents that initiate and coordinate joint T&E programs. Reports at critical milestones.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1304. PROGRAM CONTROL AND ADMINISTRATION

1304-01. Program Control

1304-01.1. Documents on all programming and financial activities connected with the research, development, testing, and evaluation (RDT&E) program including reprogramming requests, the release of deferred funds, and requests from the Emergency Fund.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1304-01.2. Program Index of responsibility and programming system records.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1304-01.3. Arrangements for computer support for USDR&E activities. These are in the nature of agreements to use DoD facilities on a shared basis.

Disposition: Destroy 1 year after termination of agreement.

1304-01.4. Documents on across-the-board technical support programs, general purpose military construction projects, R&D manpower, and formal reviews of all programs.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1304-01.5. Management reports and technical information.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1304-01.6. New legislation originated within USDR&E.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 20 years old.

1304-01.7. Focal point for GAO reports.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 20 years old.

1305. ACQUISITION POLICY

1305-01. Planning. Documents that advise on the determination and development of required plans and policy for the effective and efficient management of the R&D requirements generating process, area coordinating papers, development concept papers, and systems engineering. Policies and staff supervision for operation of the Defense Systems Management College.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 20 years old.

1305-02. Systems Acquisition. Documents developing positions for review by the DAB. Documents coordinating the work of the various offices in the USDR&E in the preparation of justification for a system acquisition. Briefs and defenses of systems acquisitions.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1305-03. Engineering Policy

1305-03.1. Documents establishing engineering policy and standards, particularly in regards to performance criteria, reliability, maintainability, and survivability.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 25 years old.

1305-03.2. Documents that review major programs for compliance with sound engineering practices.

Disposition: Destroy 5 years after program completion.

1306. RESEARCH AND ADVANCED TECHNOLOGY

1306-01. Electronics and Physical Sciences. Reviews, analyses, and evaluations of DoD technology programs in electronics, associated solid state physics, electronic development, and computer and communications applications. Documents that monitor

the related plans, policies, and procedures of the Military Departments to ensure effective implementation. Technical reviews of projects in the physical sciences. Assessments and policies concerned with DoD-sponsored research carried out by industry or educational industry or educational institutions. Reviews and evaluations of the DoD Research Program.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1306-02. Environmental and Life Sciences. Reviews, analyses, and evaluations of DoD programs in the area of medical and life sciences, environmental sciences, social and behavioral sciences, chemical warfare, and biological defense. Documents that monitor the plans, policies, and procedures of the Military Departments to ensure implementation. Reviews and evaluations of the DoD in-house laboratories.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 20 years old.

1306-03. Engineering Technology. Reviews, analyses, and evaluations of technical content and responsiveness in engineering requirements. DoD technology programs in area of airframes and aerodynamics, aircraft, rocket and missile propulsion, materials and structure, guided weapons ordnance and land and sea vehicles. Documents that monitor the managerial plans, policies, and procedures of the Military Departments to ensure effective implementation of correct engineering technology.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1307. STRATEGIC AND SPACE SYSTEMS

1307-01. Defensive Systems Files. Reviews and evaluations of military programs and proposals for R&D that would provide for strategic defense against attack; aircraft and antimissile systems, air-defense ground environment systems, communications and display required for effective control, and related developments. Space-based systems, including surveillance, tracking, mission assessment; active defense measures and related developments. Recommendations for appropriate action and funding of all such programs. Studies and plans to meet the future needs of defense.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1307-02. Offensive and Space Systems. Reviews and evaluations of military programs and proposals for R&D for strategic attack to include military space systems used for their control. Plans and recommendations for appropriate action and funding for such programs.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1307-03. Advanced Systems. Reviews and evaluations of military programs and proposals for space and advanced systems such as radiation weapons, tactical warning, air-breathing vehicles, and orbit to orbit. Studies and analyses of potential future problems in maintaining effective forces. Planning and budgeting documents for assigned programs.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1307-04. Cruise Missile Systems (NC1-330-80-5)

1307-04.1. Reviews and evaluations of military programs and proposals for cruise missiles and associated platforms including air, sea, and ground-launched conventional and nuclear armed cruise missiles and aircraft, ships, submarines and ground systems to support their launch.

1307-04.2. Studies and analyses of potential future problems in maintaining effective forces.

1307-04.3. Planning and budgeting documents for assigned programs.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1308. TACTICAL WARFARE PROGRAMS

1308-01. Air Warfare Files. Plans for the allocation of development resources between air warfare, deep-strike, counter-air, defense suppression, and tactical reconnaissance. Documents that manage the coordination, and that propose a development budget. Reviews of development and prototype production activities conducted under the authority of the Area Coordination Papers.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1308-02. Land Warfare Files. Plans for the allocations of development resources between the various areas comprising land warfare: close combat, fire support, field army air defense, and battlefield surveillance. Documents managing the preparation and coordination of major development activities in land warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific land warfare developments.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1308-03. Naval Warfare (Formerly known as Ocean Control). Plans for the allocation of development resources between the various areas comprising naval warfare: Fleet offensive operations, antisubmarine warfare, and ocean surveillance. Documents managing the preparation and coordination of major development activities in naval warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific naval warfare developments.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1308-04. Armament and/or Munitions Requirements and Development (ARMAD) Files (NC1-330-80-5). Documents relating to the development of harmonized requirements that fulfill more than one Service's munitions and associated subsystem needs, and the achievement of interchangeability with munitions in use or planned use by NATO Allies. Included are: Recommendations for resolving joint Service standardization problems; development of guidelines for standardization of requirements in munitions and associated equipment; recommendations concerning munitions development, production, or modification; identification of munitions areas where additional development would improve standardization probability, operational effectiveness, and compatibility; and evaluation of programs for munitions likely to be in existence in the future, analysis of problem areas and opportunities to converge requirements and make appropriate recommendations for joint-use.

Disposition: Permanent. Transfer to the WNRC 5 years after cutoff of the CFA. Make available to the NARA when 30 years old.

1309. INTERNATIONAL PROGRAMS

Documents providing guidance and technical direction to international R&D efforts through exploration and establishment of cooperative research, development, and production programs with U.S. Allies for weapons systems to increase commonality, improve effectiveness, reduce duplications and redundancy, and realize cost savings.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1309-01. Case record documenting the DoD position on export licenses proposed by the Department of Commerce for foreign trade, or by the Department of State, if a foreign government is involved. They involve the sale or trade of U.S. technology and/or products of a technical nature that may be defense-related. The record copies of these licenses are retained by Commerce or State, as appropriate.

Disposition: Convert to microform and destroy the hard copy when ascertained that reproduced copies are adequate substitutes for the paper records, and filmed in accordance with standards in 41 CFR 101-11.506. Transfer the microfilm to the WNRC when 5 years old. Destroy when 10 years old.

1309-02. Foreign Scientist Case File. Case files on foreign scientists accumulated in connection with DoD programs under which foreign scientific personnel were encouraged to emigrate to the United States. Files include completed applications, correspondence with potential employers, records accumulated in connection with security clearance investigations, travel orders, household goods shipment records, and other materials.

Disposition: Offer all records to the NARA for a determination of historical value when 15 years old.

1309-02.1. Records of historical value.

Disposition: Permanent. Transfer to NARA.

1309-02.2. All other records.

Disposition: Temporary. Destroy when 15 years old.

SERIES 1400

PROGRAM ANALYSIS AND EVALUATION (PA&E)

1400. PROGRAM ANALYSIS AND EVALUATION (NC1-330-77-3, except where indicated)

PA&E participates in the development of policies, plans, and guidance upon which DoD programs are based through: Performing analyses and evaluations of plans, programs, and budgets in relation to U.S. defense objectives, projected threats, allied contributions, estimated costs and resource constraints; developing and evaluating alternative program proposals to rectify deficiencies; initiating actions to ensure the Department's programs adhere to the Secretary's policies and promote achievement of national security objectives; reviewing, analyzing, and evaluating programs for executing approved policies; ensuring that the costs of DoD programs are presented accurately and completely. Also assesses the effects of DoD spending on the U.S. economy, and evaluates alternative policies to ensure that the DoD program can be implemented efficiently. Provides leadership in developing and promoting improved analytic tools and methods for analyzing national security planning and the allocation of resources. Unless otherwise indicated, all files described in this section shall be transferred to NARA after 30 years.

1401. RESERVED

1402. STRATEGIC AND SPACE PROGRAMS FILES

This office analyzes and evaluates the cost and operational effectiveness of alternative programs for strategic strike (i.e., strategic nuclear and conventional offensive forces); strategic defense; theater ballistic missile defense, space systems (including satellites, launch vehicles, and ground support); strategic C3I systems; defense-wide C3 systems; chemical and biological defense; chemical stockpile destruction, science and technology; arms control compliance and verification; and nuclear nonproliferation. Consequently, it reviews and develops alternatives to Service, Defense Agency, and OSD proposals in these areas.

1402-01. Strategic Strike and Arms Control Programs. These files contain analyses and evaluations of U.S. strategic force posture requirements, including intercontinental ballistic missiles (ICBMs), submarine-launched ballistic missiles (SLBMs), cruise missiles, short-range nuclear attack missiles, and strategic bombers. The files also contain analyses of the implications of the START and other agreements and proposals related to present and future U.S. and Soviet strategic capabilities, and analyses of the strategic balance.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1402-02. Strategic Defensive and Space Programs. These files contain analyses and evaluations of U.S. strategic defensive force postures and requirements, including strategic and theater ballistic missile defense, space defense, strategic air defense, chemical and biological defense, civil defense, space-based attack warning and surveillance, defense-wide C3, and strategic command, control, communications, and intelligence. The files also contain analyses and evaluations of space support programs. Finally, they contain analyses of U.S. plans for chemical weapons demilitarization.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1403. RESOURCE ANALYSIS FILES

These files document the execution of PA&E's responsibilities for the DRB Program Review and other similar reviews. They contain cost analyses in support of the PPBS and the DAB as well as studies and analyses of defense resource and economic issues.

1403-01. Force and Infrastructure Cost Analysis. These files document studies of operating and support (O&S) costs for major weapons systems and the methodologies for estimating force structure costs. The files also contain analytical cost estimates for the issues related to force structure alternatives, reviews of O&S cost estimates for all weapon systems and full life-cycle costs for strategic missile systems and combat vehicles submitted for milestone and program reviews by program offices and Service-independent cost agencies. Documents the collection and reporting of actual O&S costs by weapon system through the "Visibility and Management of Operating and Support Costs" (VAMOSOC) program. Also documents analytical and administrative support for the programming phase of the PPBS, including preparation and publication of the POM preparation instructions, the preparation, review and consolidation of issues for presentation to the DPRB, and the preparation and publication of the POM.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1403-02. Operations Analysis and Procurement Planning. Documents the OSD CAIG review independent cost estimates for major defense acquisition programs submitted for milestone and in-progress review in support of the DAB. Contains cost analyses in support of the DRB, recommendations to the USD(A&T) for the certification of cost estimates to the Congress required by the Nunn-McCurdy law, and documents analytical cost support to other PA&E offices and to the OSD staff on such matters as re-pricing different acquisition strategies. Also contains reviews of Military Departments' data plans for contractor cost data reports and research to improve methods of cost analysis, and documentation supporting role of directing research by contractors in the

field.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1403-03. Economic Analysis and Resource Planning. These files document PA&E's role in the sponsorship and conduct of economic and financial analyses of major defense programs that include the fiscal guidance and procedures for the DPRB Program Review, price indexes and outlay rates for defense purchases, and published results of the Defense Economic Impact Modelling System. Also economic analyses of manpower, environmental, medical, acquisition, and other defense programmatic issues as well as analyses of the industrial base, major systems acquisition strategies, independent research and development/bid and proposal, science, engineering, and technology programs. Documents research into the economics of defense acquisition, sources and composition of cost variances, the effects of defense purchases on national economy, and other defense economic issues.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-03.

1403-04. Weapons System Cost Analysis. These files contain technical studies of the life-cycle costs of major weapons systems; independent analyses of life-cycle costs of major weapon systems in support of the DAB and DAB committee program and milestone reviews, including reviews and evaluations of the costs and costing methodology used in major weapons systems cost and operational effectiveness analyses (COEAs). Also included are assessments of the reasonableness of the program acquisition unit costs and current procurement unit costs in support of Secretary of Defense certifications to Congress as well as all costs shown in acquisition program baselines (APB) and defense acquisition economic summary (DAES) reports. Also documentation supporting PA&E's role as central manager of the contractor cost data report (CCDR) Program.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1404. THEATER ASSESSMENTS AND PLANNING FILES

These files contain analyses of U.S. interests worldwide, threats to those interests, and the capabilities (including deployment capability) of the U.S. and potential allies to meet those threats. Evaluations of alternative U.S. and allied military postures; projections of the cost and manpower requirements of the approved and alternative defense programs beyond the program years; evaluations of the cost and effectiveness of major automated information systems (AIS) that support Department operations. Records also include extensive databases and analytical methods/models used in analyses and records of PA&E's AIS and contract research programs.

1404-01. Europe and Pacific Forces. These files contain studies and analyses of force capabilities, requirements, and defense programs and security assistance programs affecting NATO, Asia, Pacific basin, Caribbean, Central and South America, and Africa. These are maintained on a country, regional or theater-level basis. Also documents PA&E's function as the focal point for special operations, anti-drug, mobilization and crisis management planning and programming.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1404-02. Projection Forces. These files contain documents supporting the reviews and analyses of policies and programs that support the U.S. ability to project combat forces overseas, including the capability to move forces and equipment between and within theaters by air, sea, and land transportation or by prepositioning; programs involving forces earmarked for rapid movement; programs designed to facilitate the command and control of mobility forces and their cargoes; programs designed to facilitate our regional policies and strategy in Southwest Asia; wartime medical programs; emergency use of civil transportation resources; indirect support airlift forces; and mobility support forces.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1404-03. Planning and Analytical Support

1404-03.1. Files documenting PA&E's role in directing analyses of the long-range military capability and resource implications of current and alternative DoD programs.

1404-03.2. Implementing a PA&E-wide information architecture comprised of databases, models, computer-based methodologies for conducting program analysis and evaluation, and computer systems, networks and services, and submissions of budgets and budget justifications supporting that information architecture.

1404-03.3. Plans, programs, and contracts for development, maintenance, and employment of databases and analytical tools for use by analysts throughout PA&E and the Department of Defense.

1404-03.4. Coordination of PA&E involvement in and review of CIM programs and initiatives.

1404-03.5. Cost/benefit analyses of automated information systems and support of PA&E participation in the deliberations of the Major Automated Information Systems Review Council (MAISRC).

1404-03.6. Documentation of oversight function for the planning and use of contract advisory assistance services, policies and procedures affecting the PA&E contract study program, and monitoring of progress of contract efforts.

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1405. GENERAL PURPOSE PROGRAMS FILES

These files contain documents pertaining to PA&E's role in directing the analysis and evaluation of the force levels and mixes of U.S. general purpose air, land, and naval forces, including their affordability, effectiveness, capabilities, and readiness. Also contain summaries of alternative forces and acquisition programs for review by the Secretary and Deputy Secretary of Defense in making critical decisions on the allocation of Defense resources.

1405-01. Land Forces. These files document reviews and analyses of DoD Army and Marine Corps Active and Reserve land forces, combat and support, weapons systems requirements, and alternative mixes and levels of land force structures as well as the development and procurement programs to determine the most cost-effective alternatives for planning, programming, and budgeting purposes.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1405-02. Naval Forces. These files document reviews and analyses of naval forces including Anti-Submarine Warfare, anti-air warfare, amphibious, fire support, cruise missiles, naval ASW and AAW weapons, mine countermeasures, combat logistics/replenishment, surface combatants, attack submarines, undersea surveillance, fleet escort and shipbuilding programs.

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1405-03. Tactical Air. These files document reviews and analyses of tactical air forces (Active and Reserve), including land- and sea-based aircraft for air-ground support operations, air-to-air combat, interdiction, reconnaissance, and other support missions. Reviews and analyses of theater and fleet air defense forces.

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1405-04. Force Structure Analysis. These files contain analyses and evaluations of the overall planning basis for the general purpose force structure, including mission definition, scenario assumptions, and intelligence support. Documents development of

conceptual approaches for cross-Service, cross-mission analysis and relation of mission-level analysis to systems acquisition issues. Also includes governmental and non-governmental analyses of general purpose program force structure and force effectiveness issues; special studies ranging from specific analyses such as "land forces for Latin American contingencies" to general assessments such as a study of overall general purpose force forward presence needs.

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

SERIES 1500

ATOMIC ENERGY FILES

1500. ATOMIC ENERGY FILES (NC1-330-76-3, except where otherwise noted)
These files pertain to the functions of OSD Atomic Energy matters. Unless otherwise indicated, Atomic Energy files identified as permanent shall be offered to the NARA when 30 years old.

1501. RESERVED (103., Common Mission Files.)

1502. ASSISTANT TO THE SECRETARY OF DEFENSE (ATOMIC ENERGY) FILES

1502-01. Immediate Office Files. DoD atomic energy policy on such matters as military information disclosure, movement of atomic devices, disclosures to foreign governments, accidents, and safety. Advice to the Secretary of Defense, studies, analyses, evaluations, and appraisal of the DoD Nuclear Weapons Development Guidance annual report. Exchange of atomic energy information and advice to the Senate and House Armed Services Committees.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

1502-02. Military Liaison Committee (through 1986) and Nuclear Weapons Council (NWC) and Nuclear Weapons Council Standing Committee (NWCSC) (1986-). Committee charter, membership, and minutes of meetings. Correspondence with the Department of Energy (DoE) and the Department of Defense on atomic energy matters concerning the military. Studies, evaluations, advice to the Department of Defense related to military applications of atomic weapons or energy.

Disposition: Permanent. Cut off when no longer needed for current operations. Retire to the WNRC 5 years after cut off or when the committee is abolished, as prescribed for the office of record for committee documents maintained in accordance with series 103-06.1.

1503. OFFICE OF THE ASSISTANT TO THE SECRETARY OF DEFENSE (ATOMIC ENERGY) (CHEMICAL MATTERS) (NC1-330-87-2)

1503-01. Reserved

1503-02. Chemical Warfare Files. Policies and guidance governing DoD planning and program development on all chemical matters, suggestions, for change, preparation,

and interpretations.

Disposition: Permanent. Cut off annually. retire to the WNRC after 5 years.

1503-03. Reserved

1503-04. Studies, Tests, Projects Files. Copies of documents relating to the design, development, and testing of systems and concepts, technical reports, research papers, project documents, technical and scientific data, manuscripts and analyses.

Disposition: Permanent. Cut off annually. Retire to the WNRC after 5 years. Transfer to the National Archives in 5-year blocks when 30 years old.

1503-05. Reserved

1503-06. Legislative Affairs Files. Documents on the legislative programs in the area of chemical matters; letters to and from congressional committees or individual members, monitoring of individual programs, coordinating congressional requirements.

Disposition: Permanent. Cut off annually. retire to the WNRC after 5 years. Transfer to the National Archives in 5-year blocks when 25-30 years old.

1503-07. National Affairs Files. Documents on the exchange of information and advice on chemical matters with other United States Government (USG) Agencies or activities, related correspondence, and copies of agreements.

Disposition: Permanent. Cut off annually. Retire to the WNRC after 5 years.

1503-08. International Affairs Files. Documents on the exchange of information and advice on chemical matters with foreign allies, related correspondence, and copies of agreements.

Disposition: Permanent. Cut off annually. Retire to the WNRC after 5 years.

SERIES 1600

ELECTRONIC RECORDS AND CHIEF INFORMATION OFFICER (CIO)

1600. ELECTRONIC AND CIO RECORDS

General. This section applies to records created by computer operators, programmers, analysts, systems administrators, CIOs and their program offices, information technology (IT) offices (operation and management), and all personnel with access to a computer, to include contractors. Disposition authority is provided for certain master files, including some tables that are components of database management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain disposable electronic records produced by end users in office automation applications. This series provides authority to apply disposition instructions found elsewhere in this instruction to electronic files and dispose of hard copy documents when converted to electronic media, if specified requirements have been met. See AI 15, Volume I, Enclosure 8 and 36 CFR 1234 for additional guidance. This information does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance. This series does not apply to the masterfile and other related records produced by major information systems (IS) that have not been evaluated by WHS, Records and Declassification Division; an SF 115 may be required for a NARA disposition authority.

1601-01. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records

1601-01.1. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.

Disposition: Delete/destroy when no longer needed for administrative, legal, audit, or other operational purposes. GRS 20, Item 1a

1601-01.2. Electronic files or records used to create or update a master file, including but not limited to, work files, valid transaction files, and intermediate input and/or output records.

Disposition: Delete after information has been transferred to the master file and verified. GRS 20, Item 1b

1601-01.3. Electronic files created to monitor system usage, including, but not limited to, login files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

Disposition: Delete/destroy when no longer needed for administrative, legal, audit, or

other operational purposes. GRS 20, Item 1c

1601-02. Input and/or Source Records. Hard copy (non-electronic) documents used as the means to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g, correspondence, reports, still pictures and negatives, maps, drawings, slides, etc.)

1601-02.1. Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format or do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion.

Disposition: Permanent. Transfer to NARA in accordance with disposition instructions in this schedule. [Note: Records will not be maintained under this file number but under the original file series of the hard copy documents.] GRS 20, Item 2a(1)

1601-02.2 Hard copy records previously approved as permanent that are converted to electronic records where the electronic.

Disposition: Permanent. Transfer to NARA in accordance with disposition instructions in this schedule. [Note: Records will not be maintained under this file number but under the original file series of the hard copy documents.] GRS 20, Item 2a(2)

1601-02.3. Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations, transparencies, x-rays, maps, drawings, etc).

Disposition: Use previously approved file number. GRS 20, Item 2a(3)

1601-02.4. Hard copy documents other than those covered by above.

Disposition: Destroy after the information that has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required [for Permanent records] by 36 CFR 1228.31(b)(1)(i), whichever is later. GRS 20, Item 2a(4)

1601-02.5. Electronic records, except as noted in 1601-02.1.6, entered into the system during an update process, and not required for audit and legal purposes.

Disposition: Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later. GRS 20, Item 2b

1601-02.6. Electronic records received from another Agency and used as input/source records by the receiving Agency, EXCLUDING records produced by another Agency under the terms of an inter-Agency agreement, or records created by another Agency in response to the specific information needs of the receiving Agency.

Disposition: Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or database, whichever is later. GRS 20, Item 2c

1601-02.7. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.

Disposition: Delete after the necessary data have been incorporated into a master file. GRS 20, Item 2d

1601-03. Electronic Records that Replace Hard Copy Records. Electronic records that replace temporary hard copy records covered under this instruction that do not explicitly exclude electronic records. Dispositions cited in this section may be applied to copies of records maintained on agency websites only in the case of administrative housekeeping records. These items cannot be applied to web site copies of program records, which must be appraised separately.

1601-03.1. Scanned Records. Scanned images of records created to promote efficiency and productivity in office operations that are the equivalent of records in paper or another medium, and are scheduled for disposal under this instruction.

Disposition: Delete after the expiration of the retention period authorized by this instruction. GRS 20, Item 3a

1601-03.2. Electronic Administrative Records. Electronic records that support administrative housekeeping functions when the records are derived from or replace hardcopy records authorized by this schedule for destruction, EXCLUDING those that replace or duplicate the following: Employee Medical Folder (FN 202-26); Employee Health Statistical Summaries (FN 202-23.2); Equal Employment Opportunity Records, Employment Statistics Files (FN 202-43.6); Telecommunications Operational Files (FN 102-12.2); and master files and databases created to supplement or replace Top Secret Accounting and Control Files (FN 209-05.)

Disposition: Delete after the expiration of the retention period authorized by this instruction. GRS 20, Item 3b(1)

1601-03.3. Converted Employee Medical Folder (FN 202-26); Employee Health Statistical Summaries (FN 202-23.2); Equal Employment Opportunity Records, Employment Statistics Files (FN 202-43.6); Telecommunications Operational Files (FN 102-12.2); and master files and databases created to supplement or replace Top Secret

Accounting and Control Files (FN 209-05.)

Disposition: Submit an SF 115 to Records and Declassification Division. (GRS 20, Item 3b(2))

1601-03.4. Digital Audiovisual Records. Digital versions of temporary still pictures, sound recordings, motion picture film, and video recordings.

Disposition: See DoD 5040.06-M-3, Visual Information (VI) Disposition Manual and 700 series of this schedule. GRS 20, Item 3b(3)

1601-03.5. Electronic Program Records. Program records maintained in electronic format that are not covered by the items above or this instruction.

Disposition: Submit SF 115 to Records and Declassification Division. GRS 20, Item 3b(5)

1601-04. Permanent Electronic Records. Electronic records that replace hard copy records approved as permanent in this instruction. Note: Electronic versions of permanent records must meet NARA transfer guidance for electronic records.

Disposition: Submit notification to NARA in accordance with 36 CFR 1228.31(b)(1)(i). GRS 20, Item 3.1

1601-05. Data Files Consisting of Summarized Information. Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or database that is disposable under this schedule, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval.

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NOTE: Data files consisting of summarized information which were created from a master file or database that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval. GRS 20, Item 4

1601-06. Records Consisting of Extracted Information. Electronic files consisting solely of records extracted from a single master file or database that are disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are:

1601-06.1. Produced as disclosure-free files to allow public access to the data;
or

1601-06.2. Produced by an extraction process that changes the informational content of the source master file or database; which may not be destroyed before securing NARA approval. For print and technical reformat files 1601-07 and 1601-08,

respectively.

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20, Item 5

1601-07. Print File. Electronic file extracted from a master file or database without changing it and used solely to produce hardcopy publications and/or printouts of tabulations, ledgers, registers, and reports. GRS 20, Item 6

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

1601-08. Technical Reformat File. Electronic file consisting of data copied from a complete or partial master file or database made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20, Item 7

1601-09. Backups of Files. Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

1601-09.1. File identical to records scheduled for transfer to NARA.

Disposition: Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transfer to NARA and successfully copied, or when replaced by a subsequent security backup file. GRS 20, Item 8a

1601-09.2. File identical to records authorized for disposal in a NARA-approved records schedule.

Disposition: Delete when the identical records have been deleted, or when replaced by a subsequent backup file. GRS 20, Item 8b

1601-10. Finding Aids or Indexes. Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by this instruction or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Disposition: Delete when related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later. GRS 20, Item 9

1601-11. Special Purpose Programs. Application software necessary solely for use to maintain a master file or database authorized for disposal in this instruction or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives

Disposition: Delete when related master file or database has been deleted. GRS 20, Item 10

1601-12. Documentation. Data system specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or database or other electronic records.

1601-12.1. Temporary Systems. Documentation relating to electronic records that are scheduled for destruction in the GRS or this schedule.

Disposition: Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. GRS 20, Item 11a(1)

1601-12.2. Permanent Systems. Documentation relating to electronic records that are scheduled for permanent retention in the GRS or this schedule.

Disposition: Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates. GRS 20, Item 11a(2)

1601-13. Downloaded and Copied Data. Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.

1601-13.1. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review.

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20, Item 12a

1601-13.2. Derived data that provides user access in lieu of hard copy reports that are authorized for disposal.

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20, Item 12b

1601-13.3. Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.

Disposition: Delete from the receiving system or device when no longer needed for processing. NOTE: Use FN 1601-05 for scheduling of other extracted data. GRS 20, Item 12c

1601-14. Print Files. Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs.

Disposition: Destroy when no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records. Printouts with substantive information should be retained in accordance with the appropriate disposition instruction in this schedule. GRS 20, Item 16

1602. WORD PROCESSING FILES

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Disposition: Delete from the word processing system when no longer needed for updating or revision. GRS 20, Item 13

1603. ELECTRONIC MAIL RECORDS

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Disposition: Delete from the e-mail system after copying to a recordkeeping system. NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required. GRS 20, Item 14

1604. ELECTRONIC SPREADSHEETS

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

1604-01. When Used to Produce Hard Copy That is Maintained in Organized Files

Disposition: Delete when no longer needed to update or produce hard copy. GRS 20, Item 15a

1604-02. When Maintained Only in Electronic Form

Disposition: Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired. GRS 20, Item 15b

1605. ELECTRONIC CALENDARS. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal. NOTE: Calendars or other records relating to the official activities of high Government officials - Secretary of Defense, Deputy Secretary of Defense, Heads of the OSD Components, Heads of those organizational entities under OSD for administrative support, that have NOT been incorporated into the official files, submit an SF 115 to NARA through the OSD Records Administrator to effect scheduling of these records.

1605-01. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials. [See note above.]

Disposition: Destroy or delete when 2 years old. GRS 23, Item 5a

1605-02. Calendars or other records of all Government officials containing substantive or non-substantive information relating to official activities, which HAVE been incorporated into official files.

Disposition: Destroy or delete when no longer needed for convenience of reference. GRS 23, Item 5b

1606. INFORMATION TECHNOLOGY OPERATIONS AND MANAGEMENT RECORDS

Provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. IT includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. System data or information content, must be scheduled separately by submitting an SF 115 to NARA.

1606-01. Oversight and Compliance Files. Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

1606-01.1. Performance measurements and benchmarks.

Disposition: Destroy when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. GRS 24, Item 1a

1606-01-2. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. GRS 24, Item 1b

Disposition: Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. NOTE: See item 1606-03.2 for performance files relating to systems.

1606-02. IT Facility, Site Management, and Equipment Support Services Records

1606-02.1 Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.

Disposition: Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer. GRS 24, Item 2

1606-03. IT Asset and Configuration Management Files

1606-03.1. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.

Disposition: Destroy/delete 1 year after completion of the next inventory. GRS 24, Item 3a

1606-03.2. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes but not limited to:

1606-03.2.1. Data and detailed reports on implementation of systems, applications and modification; application sizing, resource and demand management; documents identifying, requesting and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

Disposition: Destroy/delete 1 year after termination of system. GRS 24, Item 3b (1)

1606-03.2.2. Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

Disposition: Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner. NOTE: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of FN 1606-03.2.1. GRS 24, Item 3b(2)

1606-04. System backups and Electronic Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. [NOTE: See FN 1601-08 for backups of master files and databases.]

1606-04.1. Incremental backup tapes.

Disposition: Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later. GRS 24, Item 4a(1)

1606-04.2. Full backup tapes.

Disposition: Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, which ever is later. GRS 24, Item 4a (2)

1606-05. Files Related to Maintaining the Security of Systems and Data

1606-05.1. System Security Plans and Disaster Recovery Plans.

Disposition: Destroy/delete 1 year after system is superseded. GRS 24, Item 5a

1606-05.2. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, action to mitigate risks, implementation of risk action plan, service test plans, test files and data.

Disposition: Destroy/delete 1 year after system is superseded. GRS 24, Item 5b

1606-06. User Identification, Profiles, Authorizations and Password Files (Excluding records relating to Electronic Signatures)

1606-06.1. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.

Disposition: Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later. GRS 24, Item 6a

1606.06.2. Routine systems, i.e., those not covered by FN 1606-06.1. See FN 1601-01.3 for log-in files, password files, audit trail files, etc.

Disposition: Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 24, Item 6b

1606-07. Computer Security Incident Handling, Reporting and Follow-up Records

Disposition: Destroy delete 3 years after all necessary follow-up actions have been completed. GRS 24, Item 7

1606-08. IT Operations Records.

1606-08.1. Workload schedules, run reports, and schedules of maintenance and support activities.

Disposition: Destroy/delete when 1 year old. GRS 24, Item 8a

1606-08.2. Problem reports and related decision documents relating to the software infrastructure of the network or system.

Disposition: Destroy/delete when 1 year old. GRS 24, Item 8b

1606-08.3. Reports on operation, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

Disposition: Destroy/delete when 3 years old. GRS 24, Item 8c

1606-09. Financing of IT Resources and Services

[NOTE: Copies of records needed to support contracts should be in procurement files, see file series 208.]

1606-09.1. Agreements formalizing performance criteria for quantity and quality service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.

Disposition: Destroy/delete 3 years after agreement is superseded or terminated. GRS 24, Item 9a

1606-09.2. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.

Disposition: Destroy/delete 3 years after control measures or procedures are superseded or terminated. GRS 24, Item 9b

1606-09.3. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services excluding records that are part of the agency's cost accounting system, which are covered in FN 208-17. GRS 24, Item 9c

Disposition: Destroy/delete records with no outstanding payment issues when 3 years old.

1606-10. IT Customer Service Files

1606-10.1. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.

Disposition: Destroy/delete 1 year after record is superseded or obsolete. GRS 24, Item 10a

1606-10.2. Help desk logs and reports and other files related to customer query and problem responses; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

Disposition: Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later. GRS 24, Item 10b

1606-11. IT Infrastructure Design and Implementation Files. Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

1606-11.1. Records for projects that are not implemented.

Disposition: Destroy/delete 1 year after final decision is made. GRS 24, Item 11a

1606-11.2. Records for projects that are implemented.

Disposition: Destroy/delete 5 years after project is terminated. (GRS 24, Item 11b)

1606-11.3. Installation and testing records.

Disposition: Destroy/delete 3 years after final decision on acceptance is made. GRS 24, Item 11c

NOTE: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.

1607. CHIEF INFORMATION OFFICER FILES

1607-01. Information Technology (IT) Program Planning Records. Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Disposition: Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. Note: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA. GRS 27, Item 1

1607-02. Enterprise Architecture Files. Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Disposition: Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. GRS 27, Item 2

1607-03. IT Capital Investment Records. Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Disposition: Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. [Note: Records needed to support contracts are scheduled under file series 208.] GRS 27, Item 3\

1607-04. Legal and Regulatory Compliance Records. Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies.

Disposition: Cut off annually. Destroy/delete when 5 years old. GRS 27, Item 4

1607-05. CIO Committee Records. Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

Disposition: Cut off annually. Destroy/delete when 5 years old. Note: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. GRS 27, Item 5

1607-06. CIO Subject and Office Records. Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.

Disposition: Cut off annually. Destroy/delete when 5 years old. Note: Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere. (See 103 series) (GRS 27, Item 6)

SERIES 1700

UNITED STATES COURT OF APPEALS FOR THE ARMED FORCES

1700. UNITED STATES COURT OF MILITARY APPEALS (NC1-330-79-11)

General. Court-martial records of trials originating in the Military Departments reviewed in the U.S. Court of Military Appeals, consisting of the pre-trial, trial, and post-trial procedures, actions by the convening authorities, and decisions of the Court of Military Review. Original record of trial is returned to the originating Service after final action.

1701. APPELLATE AND ORIGINAL DOCUMENTS AND PLEADINGS

Consists of certificates for review, petitions for review, petitions for extraordinary relief, orders, briefs, miscellaneous motions, and the final actions.

1701-01. Appeals withdrawn or resulting in denial or dismissal.

Disposition: Retire to the WNRC when 5 years old. Destroy when 50 years old.

1701-02. Certificates and Appeals Granted

Disposition: Retire to the WNRC when 5 years old. Destroy when 50 years old.

1701-03. Petitions for Extraordinary Relief

Disposition: Retire to the WNRC when 5 years old. Destroy when 75 years old.

1702. JUDGES' SHEETS

Consists of central staff memoranda of law, vote sheets, and similar internal working documents.

Disposition: Retire to the WNRC when 5 years old. Destroy when 50 years old.

1703. JUDGES' REFERENCE PAPERS (NI-330-01-1)

Memoranda, not maintained elsewhere, relating to the disposition of appellate cases that are: circulated within individual chambers; or when signed by a judge, circulated among and between chambers. Draft opinions, votes, and other comments circulated within the entire court which are not included in the judges' voting sheets.

Disposition: Cut off at the end of the fiscal year. Retire to WNRC. Destroy when 25 years old.

1703-01. Electronic versions of records created by the electronic mail and word processing applications.

Disposition: Delete when file copy is generated or when no longer needed for reference for updating, whichever is later.

SERIES 1800

PERSONNEL AND READINESS

1800. PERSONNEL AND READINESS

(NC1-330-77-10, except where otherwise noted, e.g., citations pertaining to Common Mission Files (103. series), which were approved under NC1-330-92-1, or to items listed in a GRS. NB: These files were previously listed under the 600. series.)

Functional files of the OSD on personnel and readiness with specific responsibilities for developing DoD personnel policies and legislative proposals. This does not include the custody or control of personnel records of individuals assigned to the OSD. Files described herein may be further subdivided depending upon volume by use of decimal suffix. For example: 1801-08.1. through 1801-08.15. Unless otherwise indicated, records returned to the WNRC shall be offered to NARA when 30 years old.

1801-01. - 1801.10. Reserved (103., Common Mission Files.)

1801-11. Under Secretary of Defense (USD) Weekly Activity Reports. Internal communications between the Deputy Assistant Secretaries of Defense (DASDs) and/or Division Directors and ASD and/or Principal Deputy Assistant Secretary of Defense (PDASD).

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for papers filed in accordance with series 103-08.3.

1802. CIVILIAN PERSONNEL POLICY AND/OR EQUAL OPPORTUNITY

1802-01. Personnel Management Files. These files consist of:

1802-01.1. Copies of OPM regulations and Executive Orders (EOs) governing administration of civilian employees.

1802-01.2. Civilian personnel management policy documents prescribing broad policy for DoD civilian personnel.

1802-01.3. Policy documents on overseas civilian employment, length of tour, placement, employment of aliens, reviews of program administration and consolidation for changes to meet local conditions.

Disposition: a. Cut off policy documents and retire to the WNRC when superseded or obsolete, as prescribed for papers filed in accordance with series 103-01. b. Destroy regulations and EOs when superseded, obsolete, or no longer needed for reference

purposes, as prescribed for papers filed in accordance with series 102-01. c. Correspondence and other papers of a routine nature, destroy when superseded, obsolete, or no longer needed for reference, as prescribed for materials maintain in accordance with series 103-08.3.

1802-02. Labor Management Relations Files

1802-02.1. General statements of policy or guidance.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1802-02.2. Documents relating to the review of collective bargaining agreements between labor organizations and the DoD Components that are reviewed at the DoD level. Labor arbitration general and case files.

Disposition: a. Collective bargaining agreements - office negotiating agreements, destroy 5 years after expiration of agreement; other offices, destroy when superseded or obsolete. b. Labor arbitration general and case files, destroy 5 years after final resolution of the case. GRS 1, Item 28.

1802-02.3. Documents on the granting of national consultation rights to labor organizations.

Disposition: Permanent. Retire to WNRC 5 years after termination (NC1-330-77-10).

1802-03. Compensation and Position Management. Documents that allot spaces for top-level scientific, professional and executive personnel and standards that ensure effective use of such spaces. Documents approving salaries, wages, fringe benefits, and such pay policies as appropriate for DoD employees. Includes directives and statistics.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for records maintained in accordance with series 103-01.

1802-04. Staffing Policies and Programs. Directives promulgating policy on merit promotion, re-employment rights, and overseas return placement. Documents that provide guidance on accessions placement, transfer, or separation as a result of base closures, consolidations, and/or reductions. Administrative papers of the DoD programs for stability of civilian employment and associated automated placement programs; broad policy and educational institutions.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for materials maintained in accordance with series 103-01.

1802-05. Employee Training and Career Development. Documents establishing policies and standards governing the administration of civilian employee training

programs and career development.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1802-06. Technical Staff-DoD Wage Fixing Authority. Documents that approve salaries, wages, premium pay, allowances and differentials, and such other pay policies as appropriate for DoD employees paid from appropriated funds.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1802-07. Technical Staff-DoD Nonappropriated Funds. Documents that approve salaries, wages, premium pay, allowances and differentials, and such other pay policies as appropriate for Department of Defense employees paid from nonappropriated funds.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1802-08. Equal Opportunity - Civilian. Policy on equal opportunity and affirmative action programs. Annual reports from the Services on attainment of affirmative action goals. Policy on compliance requirements, and sanctions if necessary to promote employment and minority business enterprise program. Employment of minorities and women; policies and directives. Liaison with other Government Agencies and with the Labor Department on training programs.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1802-09. Equal Opportunity - Military. This file consists of policy on equal opportunity in the Military Service, compliance monitoring of Services' programs, and reports on the subject. Also policy on off-base housing nondiscrimination, semiannual reports from the Services on number of facilities surveyed, numbers of complaints, etc., and policy on nondiscrimination of federally assisted programs such as with educational institutes - Defense Equal Opportunity Management Institute, establishing and managing the program; charter, correspondence, membership, minutes of the Defense Human Relations Education Board, and statistics on program progress representing percentages of minorities and women by rank or grade and analysis of the data to measure program progress.

Disposition: a. Policy matters are permanent. Cut off and retire to the WNRC when obsolete or superseded, as prescribed for papers maintained in accordance with series 103-01. b. Committee-type files are permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cut off, or when the committee is abolished, as prescribed for records maintained in accordance with series 103-06.

1803. MILITARY MANPOWER AND PERSONNEL POLICY

1803-01. Compensation Administration. Policy determinations regarding all basic compensation issues, basic allowance for housing and basic allowance for subsistence issues, taxes, retirement, and survivor benefits.

1803-01.1. Basic compensation policy issues. Policy determinations with respect to basic pay benefits, special and incentive pays, basic allowance for housing and basic allowance for subsistence, travel and transportation allowances. Compensation studies, programs, Joint Federal Travel Regulations (JFTR) trip reports, minutes of compensation-related committees.

Disposition: a. Policy papers are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01. b. Committee-type records are permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cut off, or when the committee is abolished, as prescribed for records maintained in accordance with series 103-06.

1803-01.2. Armed Forces Tax Council and Military Taxation Program (was 607-03). Procedures, actions recommended, minutes, and other administrative matters concerning the Armed Forces Tax council (DoD Directive 5124.3). Policy determinations regarding problems associated with military taxation (Federal, State, local, and foreign). Also, policy directives, studies and recommended alterations to current programs, and initiations of and responses to proposed legislation.

Disposition: a. Policy matters are permanent. Retire to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01. b. Committee-type records are permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cut off, or when the committee is abolished, as prescribed for records maintained in accordance with series 103-06.

1803-01.3. Retirement and Survivor Benefits. Policy reviews provided for standardization and uniformity in implementing laws pertaining to retirement and survivor entitlement (including former spouse matters) and interactions with social security and payments from the Department of Veterans Affairs. Also, policy directives, studies and recommended alterations to current programs, and initiations of proposed legislation.

Disposition: a. Policy matters are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01. b. Instructional-type materials are permanent. Cut off annually or when superseded or obsolete, as reference needs require, and retire to the WNRC, as prescribed for materials maintained in accordance with series 103-02. (213. for disposition of master copies of DoD issuances that Personnel and Readiness is the OPR.)

1803-02. Defense Advisory Committee on Women in the Services (DACOWITS). Charter, correspondence, minutes, recommendations of the DACOWITS, which advises and assists the SecDef on policies that pertain to women in the military. The committee consists of civilian men and women appointed by the Secretary. The members conduct installation visits throughout the year. The members meet at formal conferences and committee recommendations and requests for information are forwarded to the SecDef at that time.

Disposition: Permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cut off, as prescribed for papers maintained in accordance with series 103-06.

1803-03. Officer and Enlisted Management Systems

1803-03.1. Policy matters on military personnel management systems including grade and rank distribution.

1803-03.2. Analyses of monthly reports, proposed legislation on distribution, Service justifications for distribution of thumb rules. Establishment of grade ratio in certain occupational areas. Procedures in processing all temporary promotion lists.

1803-03.3. Validation of Flag and general officer positions (officers O7 and above).

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01.

1803-03.4. Detail action files. Case files relating to detail actions on individual military members and civilian employees.

Disposition: Destroy when 5 years old, as prescribed for personnel-type documents maintained in accordance with series 202-01.2.

1803-04. Personal Commercial Affairs. Policy on life and motor vehicle insurance. Studies that lead to policy directives, consideration of possible legislative changes, etc. Policies on operation of credit unions such as the Pentagon Federal Credit Union. Documents on consumer protection activities and assistance to the Military Services.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for records maintained in accordance with series 103-01.

1803-05. Personnel Activities and Facilities. Policies that determine the establishment, continuation and operation of commissary stores; where authorized, surcharges, etc. Policy and coordination with the House Armed Services Committee governing the operation and directives of military exchanges. Policies on the operation of open messes (clubs) and special service activities such as athletic facilities.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1803-06. Personnel Administration. This file consists of policy documents on awards and decorations such as the Joint Service Commendation Medal, Vietnam Service Medal, and others of a joint Service nature; processing of Medal of Honor Awards; policy on foreign awards, trophies and similar devices of recognition. Also contains morale and recreation documents, coordination with the USO, and policy on utilization of military personnel in such activities; policy on duty tour length of military and dependents, CONUS and for each area overseas or specific Agencies or activities such as attached duty; policy on a uniform standard leave and/or liberty pass; advance, excess convalescent, retirement leaves and for special leaves such as after hazardous duty, long holidays, etc. Also includes policy prescribing a uniform report of casualties and assistance to next-of-kin programs; policy and administrative matters concerning the Fleet and Army post offices; documents which coordinate POW and/or MIA activities; and liaison with interested citizen groups, reports to Congress, and similar data.

Disposition: a. Cut off and retire policy papers to the WNRC when obsolete or superseded, as prescribed for papers maintained in accordance with series 103-01. b. Documents relating to the processing of MOH are permanent. Cut off and retire to the WNRC when 5 years old. c. Correspondence with citizen groups such as the USO, cut off after 3 years, retire to the WNRC; destroy when 30 years old. d. Documents on POW and/or MIA activities and reports to Congress on this subject are permanent. Retire to the WNRC when 10 years old. e. Reference papers may be destroyed when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-08.3.

1803-07. Armed Forces Chaplain's Board Files. Contains policy documents, charter, general correspondence, directives, advisory group membership and meeting minutes, board minutes, coordination with civilian churches on chaplain matters, and other such matters of mutual interest.

Disposition: Permanent. Cut off when no longer needed for current operations. Retire to the WNRC 5 years after cut off or when the committee is abolished, as prescribed for documents maintained in accordance with series 103-06.

1804. MANPOWER, RESEARCH, AND UTILIZATION

1804-01. Procurement Policy. Policies on Service-wide and retention programs; policies establishing Military Entrance Processing Stations (MEPS); reports on rejections after reporting; procedures on placement of Selective Service calls, induction quotas and other information. Also includes policy regarding mobilization of the Standby Reserve; regulations on deferments and reference material on the Selective Service System (SSS).

Disposition: a. Cut off and retire policy documents to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01. b. Consolidation of rejection reports are permanent. Retire to the WNRC when no longer required; individual rejection reports, destroy when 1 year old. c. Destroy SSS reference information when no longer needed, as prescribed for documents maintained in accordance with series 103-08.3.

1805. AUTOMATED DATA PROCESSING FILES (PERSONNEL AND READINESS)

1805-01. Annual Inventory of Commercial or Industrial Activities. This is a magnetic tape file of the cost of such services performed in the Department of Defense and the amount contracted for from non-DoD activities.

Disposition: Scratch tapes and destroy hardcopy output when no longer needed for reference.

1805-02. Reserve Components Master History File. A magnetic tape file recording the strength of U.S. National Guard and RCs, as well as individual statistics such as education level.

Disposition: a. Hardcopy monthly output, "Official Guard and Reserve Manpower Strength and Statistics," is permanent. Retire one copy of each report to the WNRC when no longer needed for reference purposes. b. Microfiche of monthly computer output, destroy when no longer required for reference. c. Mag tapes, scratch when no longer required for statistical studies and after the next regular update.

1805-03. Retirees Personnel Master File and Survivor Beneficiaries Master File. This is a data bank of all retired personnel input on IT tape from each Military Service finance center. The master file is recreated annually, the name and social security numbers stripped and the data used for actuary studies in the OSD.

Disposition: Retain master tape for 4 years, then scratch for reuse.

1805-04. Defense Enrollment/Eligibility Reporting System (DEERS). DEERS (also known as the Defense Eligibility Reporting System (DERS)) is a centralized personnel data system used to provide timely and accurate information on those persons eligible for prescribed medical, dental, life insurance, GI bill benefits and entitlements, and to prevent and detect fraud and abuse in the distribution of such benefits and entitlements. Records are maintained two years online after termination of eligibility. Includes DoD active duty and retired officers and enlisted personnel, members of reserve and guard components, and all civilian employees and retirees. Included are: DEERS master file, codebooks, record layouts, and other technical information required to use the database.

Disposition: Cut off (take a snapshot) at end of FY and transfer to the National Archives in accordance with 36 CFR 1228.270 and 36 CFR 1234. (N1-330-03-01)

1805-05. Defense Outreach Referral System (DORS). Information used to provide prospective employers with a centralized system for locating potential employees DORS database contains records of current and former Defense military and civilian personnel and their spouses; U.S. Coast Guard personnel and their spouses; and participating Federal departments' and/or agencies' civilian employees and their spouses who have applied to take part in this job placement program.

Disposition: Delete when 5 years old or when no longer needed for operational purposes, whichever is later. (N1-330-03-01)

1805-06. Joint Duty Assignment Management Information System. Information used to monitor Joint Duty Assignment positions and personnel, and to report to congress. Database which contains records of all active duty officers who are serving or have served in billets designated as joint duty assignment positions; are attending or have completed joint professional military education schools; are joint specialty officers or nominees.

Disposition: Delete when 5 years old or when no longer needed for operational purposes, whichever is later. (N1-330-03-01)

1805-07. Federal Credit Agency Debt Collection Database. Information used to assist and implement debt collection efforts by Federal creditor agencies. Database contains records of individuals identified by Federal creditor agencies as delinquent in repayment of debts owed to the U.S. Government. Includes DoD active duty and retired officers and enlisted personnel, members of reserve and guard components, and all civilian employees and retirees.

Disposition: Delete 6 months after each match cycle. (N1-330-03-01)

1805-08. Reenlistment Eligible (RECRUIT) Files. Information used to assist recruiters in re-enlisting prior service personnel. Database contains records of former enlisted personnel of the military services who separated from active duty since 1971.

Disposition: Destroy/Delete when superseded or when no longer needed for operational purposes, whichever is later. (N1-330-03-01)

1805-09. Survey and Census Database. Records of census forms completed by military members, civilians, and all persons eligible for DoD benefits. Information in this database are used for policy planning purposes, manpower and benefits research, and other manpower research activities, included are: Survey and Census database master file, codebooks, record layouts, and other technical information required to use the database.

Disposition: Permanent. Transfer master file and system documentation to the National Archives in accordance with the standards of 36 CFR 1228.270 and 36 CFR 1234. Cutoff on completion of the report for the DoD office requiring the creation of the report. Documentation submitted must include the completed NA Form 14097 or equivalent, "Technical Description For Transfer of Electronic Records to the National Archives" or same information as requested on the NA Form 14097. (N1-330-03-01)

1805-10. Non-Combatant Evacuation and Repatriation Database. Information used to account for individuals who have been evacuated from emergency situation in foreign countries. Records on all non-combatant evacuees including service members and dependents, DoD and non-DoD employees and dependents, U.S. residents abroad, foreign nationals and corporate employees and dependents. Records on maintain online for 1 year. Included are: Non-Combatant Evacuation and Repatriation database master file, codebooks, record layouts, and other technical information required to use the database.

Disposition: Permanent. Cutoff (take a snapshot) at end of the FY and transfer master file and system documentation to National Archives in accordance with 36 CFR 1228.270 and 36 CFR 1234. (N1-330-03-01)

1805-11. Defense Manpower Data Center Database. Information used to provide a centralized system within the DoD to assess manpower trends, support personnel functions, perform longitudinal statistical analyses, conduct scientific studies or medical follow-up programs and other related studies/analyses. Database contains information on all personnel/employment/pay records of DoD military and civilian employees, all Federal Civil Service employees, and some civilian agencies. Included are: Defense Manpower Data Center database master file, codebooks, record layouts, and other technical information required to use the database.

Disposition: Permanent. Cutoff (take a snapshot) at end of the FY and transfer master file and system documentation to National Archives in accordance with 36 CFR 1228.270 and 36 CFR 1234. (N1-330-03-01)

1805-12. Defense Incident-Based Reporting System (DIBRS). Information used to satisfy statutory and regulatory requirements on active duty military (including Coast Guard) and civilian personnel apprehended or detained for criminal and specified non-criminal incidents. Included are: Defense Manpower Data Center database master file, codebooks, record layouts, and other technical information required to use the database. Disposition: Permanent. Transfer to the National Archives in accordance with 36 CFR 1228.270 and 36 CFR 1234. (N1-330-03-01).

1806. PROGRAM INTEGRATION (PI)

1806-01. Legal and Selected Policies Files. This file consists of legislative proposals on military personnel matters with supporting documentation, policy matters on discipline, separations, absenteeism, desertions, conscientious objectors, and other special problems such as POWs; annual reports from the Services on status of problems such as number of deserters, courts-martial and the like.

Disposition: a. Policy matters and annual reports are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01. b. Reference materials destroy when superseded or obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-08.3.

1806-02. Personnel & Readiness Congressional Issues. This file contains documents related to Personnel and Readiness interaction with the Congress to include Congressional reports, Congressional interest items, appeals to Congressional committee actions, testimony, statements, inserts for the record.

Disposition: Destroy when superseded, obsolete or no longer needed for reference, as prescribed for papers maintained in accordance with series 103-08.3.

1806-03. Planning, Programming, and Budgeting System (PPBS) Issues. Documents related to P&R participation in the Defense Guidance, POM, and budget review. Analyses on PBS issues.

Disposition: Destroy after 5 years or on discontinuance, whichever is first, as prescribed for documents maintained in accordance with file series 103-03.

1806-04. Intergovernmental Affairs. Documents related to DoD support to other Federal, State and local government entities in the areas of law enforcement, immigration, youth employment, and training.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for papers maintained in accordance with series 103-08.3.

1806-05. Defense Manpower Requirements

1806-05.1. Documents on the determination of military and civilian and Reserve requirements and force-mix issues.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-08.3.

1806-05.2. Manpower research documents on the establishment and policy directives for Defense Manpower Data Center (DMDC) Manpower Data Analysis Centers. The collection and analysis of data, advice and assistance on manpower of an inter-Service or inter-Agency nature. Reports by Services on improvements affected on

manpower management such as positions abolished. Training research and development programs designed to enhance utilization.

Disposition: a. Policy matters are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01. b. Documents on advice and assistance, cut off and retire to the WNRC when 5 years old; destroy when 25 years old.

1806-05.3. IG, GAO, and Audit Agency Survey on Manpower Issues; documents related to audits of the use of Defense manpower.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-08.3.

1806-06. Total Force Requirements

1806-06.1. The WARMAPS, Installation Mobilization Planners Handbook, Non-Combatant Evacuation Operations (NEO), Continuity of Operations Planning (COOP), Master Mobilization Plan (MMP) and Civilian Mobilization Planning.

1806-06.2. Mobilization Exercise Files.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for reference-type papers maintained in accordance with series 103-08.3.

1806-06.3. MOA with Germany for Exchange of Mobilization Planners.

Disposition: Destroy 6 years after superseded, cancellation, or termination, as prescribed for documents maintained in accordance with series 103-04.

1806-07. Readiness of Military Forces Files. Documents and data sets dealing with the composition of U.S. Military Forces; status of personnel, training, and equipment at the unit and aggregate levels; and mobilization/deployment capabilities.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as appropriate for reference-type documents maintained in accordance with series 103-08.3.

1806-08. Individual Training and Performance Files. Documents and data sets dealing with individual training systems such as schools, instructors, students throughput, attrition rates, courses, test scores, individual demographics and training histories, and institutional training costs.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as appropriate for reference-type documents maintained in accordance with series 103-08.3.

1806-09. Collective Training and Performance. Documents and data sets dealing with collective training programs and exercises such as training ranges, missions training

objectives, descriptions of the composition of training groups and organizations, descriptions of filed training exercises, lessons learned, measures of effectiveness, of tempo, and collective training costs.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as appropriate for reference-type documents maintained in accordance with series 103-08.3.

1806-10. Training Technology. Documentation and data sets dealing with the research, development, application, and testing of training delivery systems such as computer-based training management, testing, and authoring systems; embedded training; training devices; simulators and simulation techniques; tele-training; and technology transfer.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as appropriate for reference-type documents maintained in accordance with series 103-08.3.

1806-11. Actuary Files. Calculations of present and predictions of future military retirement costs. Actuary figures for the survivor benefit program.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as appropriate for documents maintained in accordance with series 103-08.3

1806-12. Special Events Management. Documents related to the DoD support to other Federal, State, and local government agencies, or other organizations in the area of international special events.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 702-01.2.

1806-13. Office of Economic Adjustment Files. This file contains economic impact minimization files consisting of studies, reports, correspondence, evaluations of economic impact of proposed or suggested base closures, reduction program, special problem studies, and possible changes in procurement programs.

Disposition: Permanent. Retire to the WNRC when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-01.

1807. FAMILY POLICY

1807-01. Family Policy Office Files

1807-01.1. Policy files.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1807-01.2. Reference publications pertaining to Family Policy Office matters such as Executive Orders, all published orders affecting military families, newsletters, military families, etc.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference purposes, as prescribed for documents maintained in accordance with series 103-01.

1807-01.3. Program and budget decisions, guidance, committees, travel requirements.

Disposition: Destroy after 5 years or on discontinuance, whichever is first, as authorized for files maintained in accordance with series 103-03.3.

1807-01.4. Committees and/or councils and/or advisory groups on family issues such as the Family Policy Coordinating Committee or Family Support Conferences.

Disposition: a. Office of the committee chairman or secretariat, whichever is designated office of record: permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cut off, or when the committee is abolished. b. Offices of other committee members: destroy when no longer needed for current operations, as prescribed for committee-type records maintained in accordance with series 103-06. NOTE: For committee-type records not related to the business of the Family Policy Office, series 201-01. or 201-11. of this Instruction.

1807-01.5. Speeches.

Disposition: Destroy after 5 years on discontinuance, whichever is first, as prescribed for documents maintained in accordance with series 103-02. NOTE: Official copies of speeches are maintained as permanent documents by ASD (PA) under series 701-09.2.

1807-01.6. Military family issues documents such as adoption, child care, dependent travel, cottage industries, DoDDS, elder care employment, terrorism, volunteerism, and miscellaneous matters.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1807-01.7. Military Family Act Legislation contained in the FY 86 DoD Authorization Act.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

SERIES 1900

DEPARTMENT OF DEFENSE EDUCATION ACTIVITY

1900. DEPARTMENT OF DEFENSE EDUCATION ACTIVITY (DoDEA) (NC1-330-87-1 and NC1-330-88-2)

Functional files of the OSD on the DoDEA. This does not include the personnel files of educator or administrative personnel assigned to the DoDEA Headquarters or its schools. Files described herein may be further subdivided by use of a decimal suffix, e.g., 1904-10.1. through 1904-10.4., etc.

1901. RESERVED (103., Common Mission Files.)

1902. GENERAL SCHOOL ADMINISTRATION FILES

1902-01. Student Administration Files (N1-330-87-1). Documents on student administration. File folder headings could include: Scholarship and/or Financial Aid; Graduation Requirements; Field Trips, Placement; etc. Series 1903 for actual individual student folders.

Disposition: Cut off at end of school year. Destroy after 1 year, unless needed for further reference, in which case bring forward to current file (1902-01).

1902-02. Curriculum Files. Material on general curriculum development to include agendas, documents developed and created in task group meetings, minutes, and recommendations applicable to all curriculum areas. These files shall also include general working papers on the particular curriculum for an individual school year. To encourage standardization throughout DoDEA, the outline that follows should be used for curriculum materials: Arts and Humanities; Career and/or Vocational Education; Compensatory Education; Computer Education; Early Childhood Education; Preschool; Kindergarten; Foreign Language and/or Intercultural Education; Health; Drug and/or Alcohol Abuse; Nurse's Meetings; Health Reports; Immunizations; Language Arts and/or English as a Second Language; Mathematics; Media Center (Audiovisual); Music; Physical Education; Pupil Personnel Services; Home and/or Hospital Instruction; Reading and/or Reading Improvement Specialist; Science; Social Studies.

Disposition: a. Cut off task group working materials at end of school year and hold 1 year, then destroy. b. Summaries of minutes keep until next task group meets, then destroy. c. Curriculum review materials: destroy 1 year after publication. d. All other materials: destroy when no longer needed for reference.

1902-03. Special Education Files. General non-policy material including reports, correspondence on the planning and development of special education. This includes speech, learning disabilities, etc. The following subdivisions are authorized: Special

Education Monitoring; Special Education Census; Case Study Committee; Talent and Gifted; Related Services.

Disposition: Destroy individual documents when superseded or obsolete. Destroy entire file on discontinuance of organizational element to which it pertains.

1902-03.1. Mediation and Hearing Results Files. Material on special education mediations and hearings other than that contained in the individual student record.

Disposition: Cut off after final decision. a. OSD: Retire to the WNRC after 5 years. destroy when 20 years old. b. All other offices: Hold 3 years and destroy when no longer needed for further reference.

1902-04. Seven-Year Curriculum Development Plan Files. Material on the planning and subsequent issuance of the Seven-Year Curriculum Development Plan.

Disposition: Cut off at end of year; destroy after 1 year or when no longer needed for reference, whichever is sooner.

1902-05. Course Offering File. Material on the individual school's course offerings. Includes schedules and lists of courses.

Disposition: Cut off at end of year, destroy after 1 year, or when no longer needed for reference, whichever is sooner.

1902-06. Independent Study Course Files. Material on proposals for or actual independent study courses. Materials on individual students shall be filed in the student folder.

Disposition: Cut off at end of school year, destroy after 1 year or when no longer needed for reference, whichever is sooner.

1902-07. Testing Files

1902-07.1. For all DoDEA office files, material on test administration procedures, region and school-wide, as well as test results with summary analysis for general and specially administered tests are filed here. The school offices may file correspondence, documents and/or materials on semester exam schedules here.

Disposition: Cut off at end of school year. Hold in the CFA 6 additional years. Earlier destruction is authorized.

1902-07.2. Annual Testing Program. Documents for the proceedings leading up to the test administration, monitor, and test results including individual reports for the system, region, and/or school.

Disposition: Cut off at end of school year. Destroy when 6 years old or when no longer needed for reference, whichever is later.

1902-08. Reserved

1902-09. School-Wide Action Plan Files. All material on the School-Wide Action Plan, to include documents on the school improvement plan.

Disposition: Cut off at end of school year. a. Schools: Maintain 5 years then destroy. b. Other offices: destroy after 1 year.

1902-10. RESERVED

1902-11. In-service Files. Includes training and staff evaluation material. Information on in-service programs conducted by the school region, or other outside sources.

Disposition: Destroy when 5 years old or 5 years after completion of specified program, whichever is sooner.

1902-12. Special Program Files. Nonpolicy Material, in a general sense, on special programs related to education such as the Very Special Arts Festival, Teacher-in-Space, Artist in Residence programs.

Disposition: Cut off at end of year, destroy after 1 year or when no longer needed for reference, whichever is later.

1902-13. Research Program Files. Material on the planning and development of research programs; i.e., research and innovation projects, individual project proposals, etc.

Disposition: a. Approved projects: destroy 2 years after completion, or when no longer needed, whichever is first. b. All others: cut off at end of year, destroy after 1 year or when no longer needed for reference, whichever is later.

1902-14. Summer School Files. Material on the planning and implementation of a summer school program.

Disposition: Cut off at end of year, destroy after 1 year or when no longer needed for reference, whichever is later.

1903. ELEMENTARY SCHOOL FILES

1903-01. Elementary School Student Record Files (N1-330-99-1). Documents on enrollment and registration (record copy of DSF 100 and documentation enrollment category), standardized achievement tests, grades, report cards, attendance and reading records, teachers' comments, parental correspondence, other notes, or related information.

No personal information that might result in embarrassment, inconvenience, or unfairness should be kept in these records. All records on special education must be maintained in 1903-03.

Disposition: Destroy 5 years after transfer, withdrawal, or death (TWD) of student. Files may be purged of all information except report cards or other records that document academic promotion or retention data. When student transfers to another school, a copy of the record may be released to parent and/or student for handcarrying. If transferred outside DoDEA, an official copy shall be provided on receipt of an authorized request.

1903-02. Health Record Files. Includes Student Health Records (DSF 120), immunization records (DSF 122), parental permission forms, screening results, sports physicals, physician referrals, medication instructions consent forms, copies of accident reports.

Disposition: Place in student record file (1903-01.) upon TWD of student.

1903-03. Elementary School Special Education Files (N1-330-89-1). Documents pertaining to special education, to include preferrals and referral forms and documentation, test protocols, Individual Education Plans, Case Study Committee reports and plans and evaluation reports and summaries of correspondence with parents (including invitations to meetings and permission for assessments), file access records, cross-reference location information and, when appropriate, samples of student's work.

Disposition: Cut off on TWD of student. Retain in the CFA 5 years, then destroy.

1903-04. Ancillary Service Files. Documents on supplemental services (Talented and Gifted (TAG), English as a Second Language (ESL), Compensatory Ed, Reading Improvement Specialist (RIS), etc.) to include consultation and referrals, test protocols, case study committee process forms, progress and evaluation reports and summaries, teachers' notes, general correspondence, and samples of student's work.

Disposition: Place in student record file (1903-01.) upon TWD of student.

1903-05. Registration Card Files. Copies of Sponsor and/or Pupil Registration Cards (DSF 100) reflecting enrollment verification, sponsoring agency, and emergency locator information. Record copy is kept in the student record file with appropriate documentation of enrollment category (original copy preferred by not mandatory).

Disposition: Destroy when superseded.

1903-06. Teacher Class Register Files. Grade books reflecting daily, weekly, semester, or annual scholastic marks and averages, attendance, and withdrawal information.

Disposition: Cut off at end of school year. Destroy after 1 year.

1903-07. Master Student List Files. A listing of all students, by grade, enrolled in grades K-8, by school year. The list shall annotate when the student entered or withdrew if either action occurs during the school year. If student attends for entire year, name is sufficient.

Disposition: Cut off at end of school year. Hold in the CFA. Destroy after 25 years.

1904. SECONDARY SCHOOL FILES

1904-01. Secondary School Student Record Files. Documents including enrollment and registration forms, DS Form 200 (reflecting grades and credits, standardized achievement tests, attendance), discipline actions, health information, copies of report cards, letters of recommendation and correspondence with parents and/or similar and related information. No personal information that might result in unfairness shall be maintained in these records. All records on special education shall be maintained in 1904-06.

Disposition: a. DSF 200: cut off on graduation, transfer, withdrawal, or death (GTWD) of student. transfer DSF 200 to regional office after 4 years. Retire to FRC after 1 year. destroy when 50 years old. b. All other records: cut off on GTWD of student. Destroy after 5 years. When student transfers to another school, a copy of the record may be released to the parent/student for handcarrying. If the student transfers to a school outside the DoDEA, an official copy shall be provided upon receipt of an authorized request.

1904-02. Transcript Files. This file consists solely of the student's permanent record (transcript), DSF 200. This is an optional file; the transcript may be maintained in the student record file (1904-01.).

1904-03. Transcript Request Files. Request forms and correspondence authorizing release of academic records and actions taken.

Disposition: Cut off at end of school year. Destroy after 2 years.

1904-04. Registration Card Files. Sponsor and/or Pupil Registration Cards (DSF 100) reflecting enrollment verification, sponsoring agency, and emergency locator information.

Disposition: Transfer current card to student record file upon GTWD of student. A copy of current card should be maintained in the student folder to authorized release of records. Destroy when superseded.

1904-05. Health Record Files. Documents including health record (DSF 120), immunization certificate (DSF 122), TB/first aid parental permission forms, screening results, sports physicals, physician referrals, medication instructions, consent forms, and copies of accident reports.

Disposition: Cut off at end of school year. Transfer to student record file upon GTWD

of student. Copies may be released to student and/or parent for handcarrying to next school with an official copy provided upon authorized request.

1904-06. Secondary School Special Education Files (N1-330-89-1). Documents pertaining to special education programs to include prereferral and referral forms and documentation, test protocols, Individual Education Progress (IEPs), Case Study Committee (CSC) reports and minutes, assessment plans and evaluation reports and summaries, correspondence with parents (including invitations to meetings and permission for assessments), file access records, cross-reference locator information and when appropriate, samples of the student's work.

Disposition: Cut off upon GTWD of student. Hold in the CFA 5 years, then destroy.

1904-07. Ancillary Service Files. Documents on supplemental student services TAG, English as a Second Language (ESL)), to include consultation and referrals, test protocols, CSC process forms, progress and evaluation reports and summaries, teachers' notes and general correspondence, and samples of student's work.

Disposition: Transfer to student record folder upon GTWD of student.

1904-08. Report Card Files. Consolidated office files containing copies of report cards that reflect scholastic grades, promotion, of retention.

Disposition: One copy shall be maintained in the individual student record; all others released to student upon withdrawal of transfer or destroyed at end of school year, whichever is appropriate.

1904-09. Attendance and Discipline Files. Documents reflecting attendance and disciplinary actions, to include teacher referrals, tardy and/or admission slips, correspondence to and from parents, and similar related information.

Disposition: Cut off at end of school year. Upon GTWD of student, transfer to student record (1904-01.).

1904-10. Teacher Class Register Files. Grade books reflecting daily, weekly, semester, or annual scholastic marks and averages, attendance, withdrawal information.

Disposition: Cut off at end of school year. Destroy after 5 years.

1905. PANAMA STUDENT RECORDS. REMOVED.

1906. GENERAL SUPPLY ACCOUNTING

These files pertain to policy and support necessary for the effective and efficient operation of the general supply accounting activities of DoDEA (N1- 330-87-1).

1906-01. Hand Receipt Account Serial Number Files Register (DODACC).

Registers recording school and activity record account serial numbers and indicating each designation and activity to which assigned.

Disposition: Destroy after 5 years.

1906-02. Hand Receipt Account Serial Number Files List (DODACC). Lists issued periodically that reflect current account serial numbers assigned within the regional geographical area.

Disposition: Destroy when superseded.

1906-03. Stock Record Account Authorization Control Files. Background material consisting of documents on requests for authorization and assignment of, or cancellation of stock record account serial numbers and information concerning audit status accountability and transfers of accountability.

Disposition: Destroy 2 years after termination of account.

1906-04. Authorized Supply Code Files. Document on the assignment of authorized organization supply codes to each school, organization or activity authorized to maintain property on an organization property records. Included are registers and related papers.

1906-04.1. Registers.

Disposition: Destroy 1 year after cancellation of all supply codes listed on the sheet or in the bound register.

1906-04.2. Other Files.

Disposition: Destroy after 2 years.

1906-05. Property Officer and/or Custodian Designation Files. Documents reflecting the designation of property officers. Included are letters of appointment and revocation.

Disposition: Destroy 2 years after termination of appointment.

1906-06. Stock Level Control Files. Documents on the establishment and amending of stock levels at regional warehouse.

Disposition: Destroy after 1 year.

1906-07. Supply or Equipment Authorization Files. Documents on requests for authorizations for allowances or authority to exceed or change existing authorizations.

Disposition: Destroy when incorporated in a numbered publication or on recession, whichever is sooner.

1906-08. Stock Record Account Files. Accounts of regional warehouse operations constituting organizational or activity property accounts, custodial records and other documentation of accountable supply distribution activity. Regional stock account files are the basic records showing by item the receipt, disposal and quantities of supplies on hand. These accounts are kept by an accountable officer.

Disposition: Destroy after 2 years. All documents covered by subsequent consolidations, remove and bring forward to current year.

1906-09. Hand Receipt Jacket. Document that may be accumulated by the accountable officer that reflect regional property held on memorandum receipts, consisting of property issue slips, turn-in slips, individual and consolidated memorandum receipts, and related papers.

Disposition: Individual school of activity hand receipts and related papers: Destroy on inclusion in a consolidated hand receipt or on turn-in of the property issued or other satisfactory accounting of responsibility.

1906-10. Property Book and Supporting Document. Documents reflecting the description, receipt, and turn-in of property that the property book officer is accountable. Included are property books, receipts, turn-in slips, reports of survey, inventory adjustment reports, and other documents supporting entries to the property book.

Disposition: Destroy after 2 years. Open document numbers in the supporting document file, transfer to the current fiscal and/or calendar year document file.

1906-11. Document Register Files. Registers listing the document number and type of supply action taken on documents that support entries to the property book. Included are non-expendable and expendable and/or durable registers for supply actions, and similar forms.

Disposition: Destroy after 2 years. Open document number, extract into current fiscal and/or calendar year document register (first entries of new register) in original document sequence.

1906-12. Officer Nonaccountable Property Files. Documents on the receipt and issue of property that is not recorded on an accountable stock record account of the region or on a memorandum receipt account of the region such as stock cards, property issue and turn-in slips, and shipping documents.

Disposition: Destroy after 2 years or on turn-in of equipment, or after other proper settlement of responsibility, or consolidation, whichever is applicable.

1906-13. Property Records Inspection and Inventory Reporting Files. Information relating to inspections and inventories (including annual, change of PBO, cyclic) of property records. Included are reports, replies, and related information.

Disposition: a. Offices conducting inspection: destroy after 3 years. b. Offices inspected: destroy after 1 year.

1906-14. Property Accountability Transfer. Documents attesting to the transfer of property accountability from one accountable officer to another. Included are certificates of transfer, inventory lists, and related documents.

Disposition: Destroy after 2 years.

1906-15. Equipment Record Card. Documents maintained to provide a perpetual inventory of selected major or end items of equipment and for the purpose or retaining timely data for required equipment reports.

Disposition: Destroy 2 years after equipment is removed from agency control.

1906-16. Equipment Loan Files. Document reflecting loan of equipment, or material to or from other Government Agencies. Included are requests, approvals, reports, agreements, and related documents. This description does not include documents required to be filed in property accounts.

Disposition: Destroy 2 years after turn-in or other satisfactory accounting.

1906-17. Reports of Survey Files. Reports that describe the circumstances and recommended actions concerning the loss, damage, or destruction of Government property. Included are reports of survey and supporting documents.

Disposition: a. Reports fixing pecuniary liability: destroy 5 years after final action. Others: destroy after 3 years.

1906-18. Report of Survey Control Register. Registers and related documents maintained to control reports of survey.

Disposition: Destroy after 5 years.

1906-19. Inventory Adjustment Reporting Files. Approving authority copies of reports used to adjust inventory discrepancies disclosed as a result of physical inventories. Included are inventory adjustment reports, inventory count cards, copies of reports of survey, and related documents.

Disposition: Destroy after 2 years.

1906-20. Relief From Responsibility (Liability Admitted) Files. Retained unit copies of statements of charges of cash collection vouchers on property that has been lost,

damaged, or destroyed, and that liability is admitted by the responsible individual.

Disposition: a. DD Form 1131: Destroy 3 months after completion. b. DD Form 362: Destroy 3 months after verification that all amounts have been collected.

1906-21. Fund Accountability Files. Records having direct relation to the fund accountability, including, but not limited to: Statement of Agent Officer's Account (DD Form 1081), Reimbursement Vouchers (SF 1129), unannounced inspection and verification reports, quarterly reviews for needs of funds, and informal registers.

Disposition: Cut off at end of fiscal year. destroy after 2 years.

1906-22. Imprest Fund Transaction Files. Individual purchase request (DS Form 3953, DS Form 2496, DS Form 3161), SF 1165, and any other papers that may occur to support the appropriate transaction (e.g., vendor's invoice, Memorandum for Record).

Disposition: Destroy 1 year after expiration of fiscal year in which the transactions were executed.

1906-23. Bulk Fund Purchase Request Files. Individual bulk fund purchase requests.

Disposition: Destroy 1 year after expiration of fiscal year transactions executed.

1907. SUPPLY CONTROL AND QUANTITATIVE MATERIAL REQUIREMENTS FILES (N1 330-87-1)

1907-01. Investment Item Forecasting Files. Documents created in forecasting and computing the requirements for individual investment and selected items of material. Planning documents that provide guidance in computing the requirements for the item, and related papers.

Disposition: Destroy 3 years after superseded or 1 year after obsolete, discontinuance, or removal, whichever is sooner.

1907-02. Material Allowance Files. Documents reflecting allowances of material required by and authorized for schools to accomplish both administrative and educational missions. They are used in computing quantitative requirements for material and documents such as operational projects, communications pertaining to the authorization documents, and copies of other plans that provide a basis for computing quantitative requirements.

Disposition: Destroy 3 years after superseded or obsolete of the basic documents.

1908. SELF-SERVICE SUPPLY CENTER FILES (N1-330-87-1)

1908-01. Account Authorization Files and Ledger. Documents on the establishment of monetary credit authorization for school and activity supplicants drawing supplies from a self-service supply center.

Disposition: Destroy 1 year after posting authorization to customers ledger and ledger card.

1908-02. Authorized Supply Representative Card Files. Card identifying individuals as authorized supply representatives, correspondence relating to issuance of monetary credits, and correspondence relating to the account.

Disposition: a. Obsolete Cards: Destroy after posting entries to the register. b. Remaining Files: Destroy after 2 years.

1909. SUPPLY ITEM IDENTIFICATION FILES (N1-330-87-1)

1909-01. Supply Item Identification Files. Documents on proposed original item identification or proposed changes, revisions, transfers, and cancellations of basic names, definitions, descriptions, references, and illustrations for inclusion in supply catalogs. Included are requests for nomenclature and Federal stock numbers, name and description transmittal forms, reference drawing or illustration sketches, coordination or collaborating actions, and similar documents pertaining to the proposed item identification.

Disposition: Destroy 4 years after completion of action.

1910. STOCK CONTROL AND REQUISITION FILES (N1-330-87-1)

1910-01. Due-In Document Files. Documents reflecting quantity and type of material due-in that are used as a record of due-in shipments, as a notification of shipment or for purposes of warehouse space utilization planning. Included are copies of requisitions, shipping and delivery orders, and similar documents, but excluding such documents when filed with vouchers to the stock record account. Disposition: Destroy 6 months after receipt of shipment, or when files have served their purpose, whichever is sooner.

1910-02. Due-In Document Register Files. Registers recording due-in shipments or notices of shipment.

Disposition: Destroy 1 year after date of last fiscal year entry.

1910-03. Car Arrival Reporting Files. Documents used to initiate diversions of shipments or immediate reshipment such as car arrival reports.

Disposition: Destroy 3 months after diversion of reshipment.

1910-04. Requisition Suspense and Status Files. Documents maintained by the requisitioner that reflect the supply status of requisitions. Included are copies of requisitions, supply status cards, follow-up data, and reconciliation of open requisitions.

Disposition: Destroy 1 year after completion of action, on cancellation of requisition or move to completed document file.

1910-05. Issue History Files. Documents reflecting the record of each material request release order and all supply actions taken on the request. These documents may be in the form of hard copy, punched card, or tape.

Disposition: Destroy after 2 years.

1910-06. Requisition Register Files. Registers maintained to record requisitions submitted for supplies to be furnished by procurement activities.

Disposition: Destroy after 1 year.

1910-07. Requisition Reference Files. Extra copies of requisitions that are maintained by the activity responsible for initiating them.

Disposition: Destroy when no longer needed but no later than 6 months after disapproval of requisition or completion of supply action.

1910-08. Packaging and Handling Deficiency Reporting Files. Reports submitted by receiving activities on deficiencies in the preservation, packaging, marking, or handling of supplies, equipment, or materials. Included are reports of packaging and handling deficiencies, reports and corrective action and related papers.

Disposition: Destroy after 1 year.

1910-09. Regional Station Supply Reporting Files. Reports concerning the status of supply, excess stock, and the redistribution of stock, including station stock status report, and report on the status of equipment.

Disposition: Destroy after 2 years.

1910-10. Stock Inventory and Reconciliation Files. Stock balance sheets or comparable work papers used for the purposes of inventory, reconciliation, or adjustment of stock balances.

Disposition: Destroy after 2 years.

1910-11. Warehouse Stock Availability Reporting Files. Reports prepared periodically listing stock availability balances, which are used primarily for ascertaining availability of supplies to satisfy quantities called for on requisitioning documents and for effecting release of quantities previously due out.

Disposition: Destroy after 3 months, or on completion of next report, whichever is sooner.

1910-12. Warehouse Stock Status and Transaction Analysis Reporting Files. Reports reflecting current balances on a warehouse's stock records or summarizing individual transactions. Included are depot stock individual transactions. Included are depot stock status reports and depot transaction analysis reports.

Disposition: Destroy after stocks depleted.

1910-13. Model (Service) Stock Files. Documents Maintained as a record of predetermined quantities of specified items reserved for issue to individuals or activities. Included are model stock lists and revisions thereof, property issue slips, and property turn-in slips.

Disposition: Destroy after stocks depleted.

1910-14. Equipment Table Files. Tables or lists that govern the issue of equipment and supplies to schools and organizations. Included are tables of organization, tables of equipment, and tables of allowances.

Disposition: Destroy when superseded or obsolete.

1910-15. Material Handling Equipment Use Files. Documents containing data for use in establishing utilization requirements for materials handling equipment. Included are daily records of materials handling equipment operations, copies of materials handling equipment utilization reports and similar documents.

Disposition: Destroy after 2 years.

1910-16. Customer Supply Assistance Reporting Files. Reports of visits made by regional supply assistance personnel relative to supply assistance provided schools and activities.

Disposition: Destroy after 2 years.

1910-17. BOSS Supply Operation Reporting Files. Reports and related documents on supply operations and accumulated by CSA and regional staff offices.

Disposition: Destroy after 2 years.

1910-18. Equipment Management Survey Files. Documents accumulated as a result of conducting on-site review of equipment use and needed for reconciling property accountability records and authorization documents. Included are copies of survey reports, letters of authorization for turn-in and requisitioning of equipment, computer printouts of adjustments and excesses, key punch worksheets, and similar or related documents.

Disposition: Destroy after next survey.

1911. MAINTENANCE FILES (N1-330-87-1)

1911-01. Maintenance Summary and Managements Files. Documents on the summarization of data to the general management of maintenance operations and functions. Copies of various operationally prepared funds (control copies) containing detailed data of value in managing such aspects of maintenance as forecasting workloads, scheduling work for orderly flow, worktime standards and routing of work, parts supply, cost control, quality control, operation improvement are reviewed, analyzed, and summarized.

Disposition: a. Consolidated reports and summarizations: Destroy when no longer needed. b. Feeder Reports: Destroy on extraction of necessary data.

1911-02. Maintenance Request Files. Documents used to request maintenance services to report accomplishment of modification work orders to record maintenance performed.

Disposition: Destroy on return or issue of related equipment.

1911-03. Maintenance Request Register Files. Documents used to record and control maintenance work; usually in the form of registers.

Disposition: Destroy 6 months after last entry.

1911-04. Exchange Tag Files. Documents (normally tags) used as receipts for replacement of parts or components.

Disposition: Destroy on return of issue of related equipment.

1911-05. Shop Property Account Files. Documents accumulating in tool rooms, parts rooms, and exchange points making maintenance items more accessible to maintenance personnel. Included are stock record cards, property issue, and turn-in slips and similar documents.

Disposition: Destroy after 2 years.

1911-06. Shop Locator Record Files. Location sheets, cards, tags, and other documents constituting a part of a location, inventory, or identification system for equipment sent to shops, or utilized as a check or inventory for such equipment.

Disposition: Reusable forms should be used until filled.

1911-07. Preventive Maintenance (PM) Schedule Files. Documents used for scheduling periodic PM services tests and calibration of equipment. Transfer with related

equipment.

Disposition: Destroy after transfer of information to other records or on disposition of equipment, whichever is sooner.

1911-08. Equipment Inspection and Maintenance Worksheet Files. Documents reflecting the performance of PM inspections, services, diagnostic checkouts, and spot check inspection of equipment.

Disposition: Destroy when posted to logbook; entered on a new form; or completion of next check or test. If needed for inspection data purposes, destroy when no longer required.

1912. STORAGE FILES (N1-330-87-1)

1912-01. Warehouse Planning and Layout Files. Warehouse, shed, or open storage space planning and layout diagrams, or comparable papers on space planning and layout.

Disposition: Destroy when superseded or obsolete.

1912-02. Locator Record Files. Documents constituting a part of a location system for supplies and equipment, or used as a check or inventory of stock location. Included are space control sheets, location sheets, location cards, bin tags, and comparable documents.

Disposition: Destroy when superseded or obsolete.

1912-03. Warehouse Receiving Files. Car or container arrival reports, shipping documents, tallies, or comparable documents retained for the purpose of car spotting, the assignment of labor and equipment, unloading of supplies, and other purposes connected with the receipt of supplies at depot warehouses.

Disposition: Destroy 3 months after receipt of shipment or when no longer needed, whichever is sooner.

1912-04. Warehouse Shipping Files. Shipping documents, tallies, reports of outbound freight, work assignment sheets used for stock piling, copies of stock or packing tags, or comparable documents retained by the warehouse after shipment and used for the purpose of picking and loading stock for shipment.

Disposition: Destroy 3 months after shipment or when no longer needed, whichever is sooner.

1912-05. Labor Pool and Equipment Operating Files. Documents on assignment and utilization of labor and equipment for warehousing activities. Included are work assignment sheets, working reports of the operation of materials handling equipment, daily work reports showing date, shift, cars or trucks loaded or unloaded and comparable

documents.

Disposition: Destroy after 6 months.

1912-06. Storage Reporting Files. Reports on overall storage operations, made to higher headquarters such as depot space and operating monthly materials handling, and similar reports.

Disposition: Destroy after 2 years.

1912-07. Supply Item Reference Files. Standard nomenclature lists, interchangeable stock numbers, lists or cards, standard stock catalogs, and similar shipment and fund cited.

Disposition: Destroy when superseded or obsolete.

1912-08. Transportation Fund Cite and Control Files. Documents constituting a system of control of the identification of separate shipments and fund cited.

Disposition: Destroy 6 months after date of last shipment.

1912-09. Packing, Boxing and Crating Files. Documents on assembling, protecting, packing, blocking, boxing, and crating articles for shipment. Included are manuals, specifications, lists, bulletins, instructions, and similar documents.

Disposition: Destroy after 3 months.

1912-10. Box and Crate Work Order Files. Box and crate shop work orders and supporting papers initiating all work performed by this activity and reflecting the status of work in process, in terms of materials and man-hours consumed and work accomplished.

Disposition: Destroy after 3 months.

1912-11. Storage Register Files. Voucher assignment registers, shipping control registers, tally number registers, and comparable devices maintained for storage control purposes.

Disposition: Destroy after 1 year.

1913. TRANSPORTATION FILES (N1-330-87-1)

1913-01. Transportation Files (N1-330-87-1). Copies of transportation contracts, transportation budget and funding, summaries of reimbursable costs, field trips, internal control, driver education, etc.

Disposition: Cut off annually. Destroy after 2 years.

1914. DEFENSE RETAIL INTERSERVICE SUPPORT PROGRAM (DRIS FILES)
(N1-330-87-1)

1914-01. Defense Retail Interservice Support Program (DRIS) Files (N1-330-87-1). Documents on agreements between DoDEA and Military Services or other Federal Agencies.

Disposition: Destroy 1 year after close of the last calendar year covered by the agreements.

1915. FACILITIES FILES (N1-330-87-1)

Documents on the acquisition of real estate by purchase leases, transfers, and space assignments.

Disposition: Destroy 6 years after approval of the completed real estate audit and disbursement is consummated.

1915-01. Facilities Administrative Files. Documents on the overall administration of facilities activities to include but not limited to program and budget documents.

Disposition: Destroy after 2 years.

1915-02. Facility Specification Files. Documents specifying educational specifications for major construction projects to include sketches.

Disposition: Destroy when no longer needed.

1915-03. Facilities Construction Files. Contains non-policy procedures and standards documents on facilities.

Disposition: Destroy when no longer needed for reference.

1915-04. Space Management Files. Records on the allocation, utilization, and release of space under DoDEA control and related reports to other agencies.

1915-04.1. Building plans and related records on space utilization, planning assignment, or adjustment.

Disposition: Destroy 2 years after termination of assignment when the lease is canceled or when plans are superseded or obsolete.

1915-04.2. Space plan file and related material used in space planning, assignment, and adjustment.

Disposition: Destroy 2 years after cut off.

1915-04.3. Correspondence files relating to space and maintenance matters of an administrative or operating nature.

Disposition: Destroy 3 years after cut off.

1916. SAFETY AND SECURITY FILES (N1-330-87-1)

Records on the safety and physical security of personnel, students, and material that DoDEA is responsible.

Disposition: Destroy when 2 years old.

SERIES 2000

DIRECTOR OF OPERATIONAL TEST AND EVALUATION

2000. DIRECTOR OF OPERATIONAL TEST AND EVALUATION (DOT&E) (NC1-330-92-2)

These files are accumulated by DOT&E as the Principal Staff Assistant to the Secretary of Defense and the principal advisor to the Under Secretary of Defense (Acquisition, Technology & Logistics) on operational test and evaluation (OT&E) and live fire test and evaluation (LFT&E) in the DoD, and the principal OT&E and LFT&E official within the senior management of the DoD. They document the Director's role in oversight and in prescribing OT&E and LFT&E policies and procedures, and for the composition and operations of the Major Range and Test Facility Base within the Department of Defense; providing guidance and consultation with respect to specific testing, monitoring and reviewing OT&E and LFT&E in the DoD; coordinating testing conducted jointly by more than one military department or Defense Agency; reviewing and making recommendations on all budgetary and financial matters on testing and evaluation including the test and evaluation infrastructure; and in development and distribution of testimonies and the DOT&E's annual report to Congress.

2001. RECORDS OF THE OFFICE OF THE SCIENCE ADVISOR

These files are accumulated in the course of providing scientific advice, technical guidance, review, and consultation to the Director on all test and evaluation matters relating to major and special interest DoD programs.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference purposes.

2002. OT&E RESOURCE FILES

These files accumulate in the Office of the Principal Deputy and in the office of the Deputy Director for Resources and Ranges in the course of tracking the long- and short-range planning and integration of OT&E and LFT&E programs, test and evaluation infrastructure programs. They are used to track program budgets, test and evaluation infrastructure investment and test and evaluation science and technology programs, and the planning and acquisition of test resources (targets, ranges, and threat models acquired from foreign or domestic sources). They may also contain documents on personnel, security, budgets, congressional correspondence and testimonies, test and evaluation infrastructure and military construction spending, real estate acquisition and airspace, land space, and sea space (to include attendant sustainment environmental issues such as noise abatement, forestry, wildlife, and encroachment). These files cover the

development of test programs through the short-term (three years prior to major testing of a program) to the time they are removed from DOT&E oversight. While these files may duplicate some of the material included in the Program Files, they are maintained separately from them.

2002-01. Resource Reference Files. These files consist of reports such as Institute for Defense Analyses (IDA), support contractors, other federal agencies, budget tracking, congressional, GAO, and IG; other documentation of test resource materials such as copies of the Test and Evaluation Master Plans (TEMPS) and test resource planning and investment strategy materials.

Disposition: Cut off upon removal of the program from the DOT&E oversight; retire to the WNRC after 2 years; destroy after 15 years.

2002-02. GAO History Files. These are copies of GAO reports and other correspondence used to track the processing of the GAO activities in connection with the DOT&E program which provide a central, discrete file on this subject.

Disposition:

a. Action copies. Cut off and retire to the WNRC when no longer needed for oversight purposes; destroy after 15 years.

b. Information copies. Destroy when no longer needed for reference purposes.

2003. PROGRAM FILES

These are action officers' files accumulated in the offices of the Deputy Directors for Conventional, Strategic, and C3I Systems, and Live Fire Test and Evaluation that pertain to system requirements and program objectives, threat assessments, testing program resources, and the program decision process. Included are such documents as analyses, assessments, periodic and one-time reports, general correspondence, GAO and IG audit material, news reports, and other documentation on testing and development programs that individual action officers deem appropriate for inclusion in a program-specific file.

2003-01. Plans and Assessments File. These files consist of Test and Evaluation Master Plans (TEMP), including approval and disapproval correspondence; test plans consisting of approval and/or disapproval correspondence and test concept briefings; test and evaluation reports, including interim reports, Quicklooks and status reports; development testing and evaluation (DT&E) plans and reports (accumulated only as required); DOT&E assessments submitted to House and Senate committees, the SecDef, USD(AT&L), and the Military Services consisting of Beyond Low-rate Initial Production (BL-RIP) reports and annual reports which synopses current programs; and operational and live fire test data utilized in support of DOT&E analyses and assessments.

Disposition: Permanent. Cut off upon completion of testing and retire to the WNRC; transfer to the National Archives after 15 years.

2003.02. Requirements Documentation Files. These files may include mission area analyses (MAA) of generic requirements tied to a specific weapons system; mission need statements (MNSs) or element need statements (MENS) that further define the MAA and establish operational requirements; stand-alone operational requirement documents that further define the MENS and include operational requirements (OR), system operational requirements documents (SORD), joint system operational requirements (JSOR), tentative operational requirements (TOR), and operational and/or maintenance concept documents; cost and/or operational effectiveness analyses that support milestone acquisition points; system concept papers; program baseline documents; and DCP or Service-equivalent documents.

2003.02.01. Threat documentation that consists of service-generated and DIA-approved system threat assessment (STA) and threat scenarios.

2003.02.02. Test program resource documents that include test program outlines and documentation on resource issues.

2003.02.03. Program Decision Documentation consisting of committee (conventional, strategic, and C3I, and live fire program) and the Defense Acquisition Board (DAB) books and copies of the acquisition decision memorandums (ADMs).

2003.02.04. Trip reports, meeting minutes, and internal correspondence files. GAO/IG audit material and related correspondence. News reports, magazine articles, and other open-source published materials accumulated at the discretion of individual action officers that pertain to on-going programs.

2003.02.05. IDA and other support documentation consisting of task orders, technical reports, and budget and/or cost reports.

Disposition: Cut off upon removal of program from DOT&E oversight; retire to the WNRC after 2 years; destroy after 15 years.

SERIES 2100

SPECIAL OPERATIONS AND LOW-INTENSITY CONFLICT

2100. RESERVED

SERIES 2200

COORDINATOR FOR DRUG ENFORCEMENT POLICY AND SUPPORT

2200. COORDINATOR FOR DRUG ENFORCEMENT POLICY AND SUPPORT
(NC1-330-92-10)

These files document the role of the Coordinator as the principal staff assistant and advisor to the Secretary of Defense for drug control policy, requirements, priorities, systems, resources, and programs. This includes developing policies, conducting analysis, providing advice, making recommendations, and issuing guidance on DoD drug control plans and programs; developing systems and standards for the administration and management of these plans and programs; promulgating plans, programs, actions, and taskings pertaining to the DoD drug control program; reviewing, evaluating, coordinating, and monitoring drug control plans and programs to ensure adherence to approved policies and standards; promoting coordination, cooperation, and mutual understanding within the Department of Defense, Congress, and between the Department of Defense and other Federal Agencies, State and local governments, and the civilian community. The Coordinator also serves on boards, committees, and other groups pertaining to drug control matters; is the point of contact for the Office of the Director of National Drug Control Policy and other Federal and State agencies; participates in and oversees and monitors planning, programming, and budgeting for the DoD counter-drug mission; coordinates and monitors DoD support of civilian counter-drug law enforcement; coordinates and monitors DoD support for the detection and monitoring of maritime and aerial transit of illegal drugs into the United States; coordinates and monitors National Guard support to State drug-law enforcement operations, and intelligence and communications support.

2200-01. Plans and Support (P&S) Directorate. These files include documents on actions on loans, leases, and transfers of equipment from the Department of Defense to Federal, State, and local law-enforcement agencies; deployment of DoD personnel outside the Continental United States; support (logistical, personnel, training) to civilian (Federal, State and local) law-enforcement Agencies by the Department of Defense to include that mandated by Congress for counter-drug programs; and National Guard activities, including the State Governors' Counter-drug Support Plan program.

2200-01.1. Topical Project Files. These files consist of letters, memorandums, reports and other correspondence documenting P&S's oversight of its logistical, procurement, training and other support responsibilities; Reserve component counter-drug support coordination activities; and operations pertaining to projects along the U.S.-Mexico border and country and/or CINC-specific counter-drug activities and deployment of U.S. personnel.

Disposition: a. Policy matters: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for papers filed in accordance with series 103-01. b. All other:

Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for papers filed in accordance with series 103-08.3.

2200-01.2. Counter-drug support plans. Copies of National Guard plans submitted by the States and Territories for DoD approval of Federal funding.

Disposition: a. Executive summaries: Permanent. Cut off when superseded, hold in the CFA for 2 years, and retire to the WNRC. b. All other: Cut off when superseded; destroy when no longer needed for reference purposes.

2200-01.3. Regional Logistical Support Office (RLSO) Support Files. These files consist of documents accumulated by P&S in exercising its administrative and logistical support role on behalf of the RLSOs. Included are documents on personnel matters pertaining to the individuals assigned to these offices (similar to but not to be confused with 202-07., Office Personnel Information Files), travel, transportation, budget, duplicate copies of memorandums of understanding and other agreements, and miscellaneous correspondence, reports, and other papers not described elsewhere in this section.

Disposition: Destroy when superseded, obsolete, or no longer needed to perform the function that accumulated.

2200-01.4. Detail Program Files. These files pertain to P&S's oversight of the program that details active-duty military personnel to work with Federal drug law-enforcement Agencies (FBI, DEA, INS, U.S. Customs, etc.) in areas where their unique military skills (intelligence analysis, computer expertise, etc.) contribute significantly to those Agencies' counter-drug programs. Also included are actions detailing military personnel as liaison officers. These files consist of letters and memorandums coordinating Agency requests for augmentation with the Military Services and Personnel and Readiness, as well as evaluations and letters of approval.

Disposition: Destroy when superseded, obsolete, or when no longer needed to support the function that accumulated.

2200-02. Demand Reduction Files. The Demand Reduction Directorate (DRD) is responsible for developing DoD policy regarding counter-drug issues pertaining to drug-free workplaces, schools, rehabilitation treatment, public awareness/prevention, urinalysis testing programs, and oversight, to include inspections of laboratory facilities (military and civilian) used in the urinalysis testing program. Laboratory oversight files consist of inspection reports by the Science and Testing Programs Officer as well as periodic inspection/evaluation reports submitted by the Military Services.

Disposition: a. Policy documents: Permanent. Cut off and retire to the WNRC when superseded or obsolete, in accordance with the provisions of series 103-01. b. DoD and Service inspection reports of test-lab facilities: Cut off annually, retire to the WNRC 2 years after cut off, destroy after 15 years. c. Routine correspondence and background

materials accumulated in the performance of the DRD oversight mission: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for papers filed under series 103-08.3.

2200-03. Directorate for Systems. These files contain papers documenting the coordinator's role in formulating policy and overseeing the execution of systems and technology programs pertaining to DoD counter-drug activities. These programs include sea- and land-based tethered balloon radars (AEROSTATS), Caribbean Basin Radar Network (CBRN), over-the-horizon (OTH) radar, and other programs dealing with surveillance, intelligence, and target acquisition, correlation, and monitoring efforts. Papers consist of correspondence with other DoD offices and civilian law-enforcement Agencies (U.S. Customs Service, DEA, FBI, Department of Transportation, etc.) and the Congress; and memorandums of agreement, briefing and point papers, procurement actions, studies, and evaluations relating to DoD counter-drug activities.

Disposition: a. Policy matters: Permanent. Cut off and retire to the WNRC when superseded or obsolete, in accordance with papers filed in accordance with series 103-01.
b. Working papers shall be destroyed when superseded, obsolete, or no longer needed for reference purposes, as prescribed for papers filed in accordance with series 103-08.3.

E2. ENCLOSURE 2

THE OSD FUNCTIONAL FILES SYSTEM

E2.1. ORGANIZATION OF THE OSD FILE SYSTEM

The organization of the OSD functional file system provides for the division and identification of records and documents into several distinct subject series to facilitate referencing and disposition.

E2.1.1. Series 100 pertains to Office Administration Files. These files relate primarily to the performance of the administrative operations in general or to the normal housekeeping operations of any office.

E2.1.2. Series 200 and up pertain to the functional files. The first subdivision of each of these functional series is devoted to administrative files on the particular functions as opposed to the general administrative file in series 100. These series relate to specific major functional or functional subgroup areas of the OSD.

E2.2. FUNCTIONAL AREA NUMBERING SYSTEM

E2.2.1. The OSD file system is set up on a functional basis and does not necessarily follow an organization relationship. Following are the present major groups with the appropriate numerical designation:

- 100 Office Administration (General) and Common Mission Files
- 200 Administration
- 300 Comptroller
- 400 General Counsel
- 500 Intelligence
- 600 Reserve Affairs
- 700 Public Affairs
- 800 Policy
- 900 Health Affairs
- 1000 Legislative Affairs
- 1100 Command, Control, Communications
- 1200 Acquisitions
- 1300 Research and Engineering
- 1400 Program Analysis and Evaluation
- 1500 Atomic Energy
- 1600 Machine-Readable and Word Processing Files
- 1700 U.S. Court of Appeals for the Armed Forces

- 1800 Personnel and Readiness
- 1900 DoD Education Activity
- 2000 Operational Test and Evaluation
- 2100 Special Operations and Low-Intensity Conflict
- 2200 Drug Enforcement Policy and Support

E2.2.1.1. These major functional groups are further divided into functional subgroups, as shown in the examples below:

- 305 Audit Files
- 703 Defense Information

E2. 2.1.2. A dash is then employed before designating the third category breakdown and a two-digit number, such as 01 or 08, is always used with this category. Examples are:

- 305-01 Inter-Service Audits
- 703-01 Media Travel

E2.2.1.3. By combining all elements of this numbering system, the following examples demonstrate their composition:

- 300 Comptroller
- 305 Audit Files
- 305-01 Inter-Service Audit Files
- 305-01.1 DoD Audit Performance Files
- 1800 Personnel and Readiness Files
- 1805 Civilian Personnel Policy Files
- 1805-03 Compensation and Position Management Files

E2.2.1.4. Most of these categories are functional breakdowns and not files. A file shall be set up for only the lowest category shown which shall always appear as the third or fourth breakdown. Also, for a category actually to be a file, it has to have a description and be included on the disposition schedule as listed in the Records Disposition Schedules. In the 100 and 200 (Office Administration) series and a few of the remaining categories, files shall be set up for the third major breakdown such as 101-01.

E2. 2.1.5. File numbers in the 100 series are common to most offices in the OSD and are described in greater detail in the disposition schedule. The Directives and Records Branch does not designate specific functional files for each office to allow flexibility in setting up specific files under functional areas.