



SERIES 200 – MANAGEMENT AND OPERATIONS

SERIES TITLE: MANAGEMENT AND OPERATIONS

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

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

RECORDS CATEGORY: 201

CATEGORY TITLE: Organization Planning Files and Management Control Records

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

FILE NUMBER: 201-01.1

FILE TITLE: Organization Planning Files

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

DISPOSITION: Permanent. Cut off annually except that plans, charts, and manuals or portions thereof shall not be cut off until superseded or rescinded. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 201-01

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 201-01



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FILE NUMBER: 201-01.2

FILE TITLE: Office Organization Files

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

DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed for reference.

AUTHORITY: NC1-330-77-004, item 101-04

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 101-04

FILE NUMBER: 201-02

FILE TITLE: Organizational Structure

FILE DESCRIPTION: Documents, charts, publications, and backup on the OSD organizational structure.

DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA 30 years after cutoff.

AUTHORITY: NC1-330-77-004, item 201-02

PRIVACY ACT: Not applicable

FILE NUMBER: 201-03

FILE TITLE: Organization Activation and Status Change Files

FILE DESCRIPTION: Documents on constituting, reconstituting, organizing, converting, consolidating, assigning, locating, and affiliating offices or Agencies of the OSD. Included are requests for publications, implementing instructions, copies of affiliation agreements, coordination actions, and similar or related documents.

DISPOSITION: Permanent. Cut off annually or on discontinuance or related offices as applicable. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 201-03

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 201-03, 201-17

FILE NUMBER: 201-04

FILE TITLE: Management Practices

FILE DESCRIPTION: Papers, charts, diagrams, policy on management practices; theory techniques, case studies, and the like to develop and improve management practices.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 201-04

PRIVACY ACT: Not applicable

FILE NUMBER: 201-05.1

FILE TITLE: Management Survey Case Files – Comprehensive Surveys



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FILE DESCRIPTION: Documents on enterprise-wide systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services that are comprehensive in nature. Individual studies and surveys involving a comprehensive review of organization and all operating procedures. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.

DISPOSITION: Permanent. Cut off upon completion and transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 201-05a

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 201-05a

FILE NUMBER: 201-05.2

FILE TITLE: Management Survey Case Files – Non-Comprehensive Surveys

FILE DESCRIPTION: Documents on the systematic formal review of organizational structure or operational procedures of a component and accumulated in the office conducting the survey or the office sponsoring a contract for survey services that are non-comprehensive in nature. Individual studies and surveys of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.

DISPOSITION: Temporary. Cut off on completion of project. Destroy 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 201-05b

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 201-05b

FILE NUMBER: 201-05.3

FILE TITLE: Management Survey Case Files – Office Surveyed Copy

FILE DESCRIPTION: Documents on the systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services that are retained by the office being surveyed. Individual studies and surveys may range in scope from comprehensive review of organization and all operating procedures to a study of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.

DISPOSITION: Temporary. Cut off and destroy on completion of next comparable survey, or when no longer required for reference.

AUTHORITY: NC1-330-77-004, item 101-02

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 101-02, 201-05c

FILE NUMBER: 201-06 – RESCINDED

FILE NUMBER: 201-07.1

FILE TITLE: Administrative Internal Control Management Records

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



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

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

DISPOSITION: Temporary. Cut off on submission or when superseded, as appropriate. Destroy 1 year after cutoff.

AUTHORITY: GRS 5.7, item 010 (DAA-GRS-2020-0001-0001)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 201-07.1, 201-07.2a

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

FILE NUMBER: 201-07.2b – Consolidated into 201-07.2

FILE NUMBER: 201-07.2c – Consolidated into 201-07.2

FILE NUMBER: 201-07.2

FILE TITLE: Internal Control Review, Response, and Mitigation Records

FILE DESCRIPTION: Copies of reports and audits identifying internal administrative program weaknesses, mitigation actions plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating Internal Management Control (IMC) Program functions in the OSD.

DISPOSITION: Temporary. Cut off after no further corrective action is needed. Destroy 5 years after cutoff.

AUTHORITY: GRS 5.7, item 020 (DAA-GRS-2017-0008-0002)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 201-07.2b, 201-07.2c

FILE NUMBER: 201-07.3

FILE TITLE: Management Improvement Files - Internal Management Control Program: Annual Statements of Assurance

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



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DISPOSITION: Permanent. Cut off when final corrective action taken; transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-86-003, item 201-07.2d

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 201-07.2d

FILE NUMBER: 201-08

FILE TITLE: Management Improvement Project Background Files

FILE DESCRIPTION: Documents used as background material in developing and completing management improvement projects. Included are analyses, notes, drafts, interim reports, and data used but not included in the official project file.

DISPOSITION: Temporary. Cut off after completion of related project or on discontinuance, whichever is first. Destroy 3 years after cutoff.

AUTHORITY: NC1-330-77-004, item 201-08

PRIVACY ACT: Not applicable

FILE NUMBER: 201-09

FILE TITLE: Work Simplification Proposal Files

FILE DESCRIPTION: Documents on the analysis of specific work procedures to simplify and improve them. Included are proposals for improvement, work distribution charts, flow process charts, work counts, motion economy studies, layout studies, actions taken on proposals, and similar documents.

DISPOSITION: Temporary. Cut off when final action has been taken on proposal. Destroy 25 years after cut off.

AUTHORITY: NC1-330-77-004, item 201-09

PRIVACY ACT: Not applicable

FILE NUMBER: 201-10 – Consolidated into 103-06.6

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

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

FILE NUMBER: 201-12

FILE TITLE: Federal / State Relations Files

FILE DESCRIPTION: Documents pertaining to Federal / State agreements, legal relationships, cooperation emergency support, and real estate.

DISPOSITION: Permanent. Cut off when canceled or superseded. Transfer to NARA 20 years after cutoff. Backup material may be destroyed when canceled or superseded.

AUTHORITY: NC1-330-77-004, item 201-12

PRIVACY ACT: Not applicable

FILE NUMBER: 201-13

FILE TITLE: Emergency Planning Files

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



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DISPOSITION: Permanent. Cut off upon cancellation or when superseded. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 201-13

PRIVACY ACT: Not applicable

FILE NUMBER: 201-14

FILE TITLE: Staffing Surveys and Studies Files

FILE DESCRIPTION: Results, recommendations, charts, and papers on staffing surveys and studies within the OSD. These generally result from new functional requirements requiring new staffing and include both civilian and military. Includes Department of Defense Education Activity Staff Authorization and Voucher System (DSAVS) Master File, a manpower/Full-Time Equivalent (FTE) issuance database, used to project future staffing requirements. DSAVS tracks locations and positions; calculates the number of FTEs; and shows projected school, District and Area level staffing by location, job title, and number of required FTEs.

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.

AUTHORITY: NC1-330-77-004, item 201-15

PRIVACY ACT: Not applicable

FILE NUMBER: 201-15 – Moved to 103-02.3

FILE NUMBER: 201-16 – Consolidated into 204-01

FILE NUMBER: 201-17 – Consolidated into 201-03

FILE NUMBER: 201-18 – Consolidated into 102-18.1 (Routine) or 102-18.2 (Substantial)

FILE NUMBER: 201-19 – Consolidated into 212-01 (Senior officials) or 101-16 (all others)

FILE NUMBER: 201-20

FILE TITLE: Hotline Investigative Files – Routine

FILE DESCRIPTION: Investigative materials, including correspondence, memoranda of telephone conversations/witness interviews, research, and all other materials relating to investigations that have been referred by the Department of Defense. Such investigations pertain to fraud, waste, and review complaints relating to the Washington Headquarters Services (WHS), Raven Rock Mountain Complex, or the Office of the Secretary of Defense (OSD) and its components.

DISPOSITION: Temporary. Cut off upon closure of case or when the Department of Defense Inspector General (DoD IG) accepts final Report of Findings. Destroy 2 years after cutoff.

AUTHORITY: N1-330-10-005, item 1

PRIVACY ACT: OIG 16

FILE NUMBER: 201-21

FILE TITLE: Hotline Investigative Files – Significant Cases

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



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Services (WHS), Raven Rock Mountain Complex, or the Office of the Secretary of Defense (OSD) and its components.

DISPOSITION: Temporary. Cut off upon closure of case and destroy 10 years after cutoff.

AUTHORITY: N1-330-10-005, item 2

PRIVACY ACT: OIG 16

FILE NUMBER: 201-22

FILE TITLE: Continuity Planning and Related Emergency Planning Files

FILE DESCRIPTION: Records may include:

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

NOTE 1: Use file number 201-13 for Continuity or emergency plans that are acted upon in the event of a national emergency or may be of permanent value.

NOTE 2: Use 202-48.2 for records on employee training for COOP and file number 203-14.2 for vital records.

DISPOSITION: Temporary. Cut off when superseded or obsolete. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)

PRIVACY ACT: Not applicable



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FILE NUMBER: 201-23

FILE TITLE: Employee Emergency Contact Information

FILE DESCRIPTION: Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation.

DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete, or upon transfer or separation of employee.

AUTHORITY: GRS 5.3, item 020 (DAA-GRS-2016-0004-0002)

PRIVACY ACT: OPM/GOVT 1

Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers.

FILE NUMBER: 201-24

FILE TITLE: Interactive Customer Evaluation (ICE) System – Comment Card Submissions

FILE DESCRIPTION: Comment card submissions from the customer module of ICE, a DoD wide, web-based tool that collects feedback on services provided by components, facilities and commercial vendors throughout the Department of Defense (DoD) relating to customer queries, responses; query monitoring and customer feedback records; and related trend analysis and reporting. The ICE system allows customers to create online comment cards to rate the service provided at military installations and related facilities around the world.

DISPOSITION: Temporary. Cut off closed comment card responses and associated comments at the end of response period. Destroy 5 years after cutoff.

AUTHORITY: DAA-0330-2014-0010-0001

PRIVACY ACT: Not Applicable

FILE NUMBER: 201-25

FILE TITLE: Interactive Customer Evaluation (ICE) System – Manager Account Records

FILE DESCRIPTION: Information from the Manager's Component of ICE, which comprises information provided by the service provider (SP), including but not limited to; name of the agency/organization of the comment card and SP, SP location, service description, POC (ICE Service Provider Manager) Name, POC work contact information, standard comment card questions and custom designed comment card questions (questions that they would like their customers to answer).

DISPOSITION: Temporary. Cut off after comment period ends. Destroy 5 years after cutoff.

AUTHORITY: DAA-0330-2014-0010-0002

PRIVACY ACT: Not Applicable

FILE NUMBER: 201-26

FILE TITLE: Interactive Customer Evaluation (ICE) System – Comment Cards (Questionnaire) Records

FILE DESCRIPTION: Questionnaires developed by the service provider (SP) in the Manager's Component of ICE which are manually keyed in responses by customers. Includes, but is not limited to, customer comment, customer name and contact information such as home, work and/or personnel cell phone number and email address.

DISPOSITION: Temporary. Cut off after comment period ends. Destroy 5 years after cutoff.

AUTHORITY: DAA-0330-2014-0010-0003



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PRIVACY ACT: Not Applicable

FILE NUMBER: 201-27

FILE TITLE: Interactive Customer Evaluation (ICE) System – Survey Application

FILE DESCRIPTION: Information from the Survey Component of ICE, which is designed for collecting more detailed customer satisfaction and quality of life information from target populations. ICE survey services can be requested by DoD organizations that have an established presence in the ICE System.

DISPOSITION: Temporary. Cut off after each survey project (including questionnaire, responses, report, associated comments, and raw data sets) is completed. Destroy 1 year after cutoff.

AUTHORITY: DAA-0330-2014-0010-0004

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 202

CATEGORY TITLE: Office Personnel Files

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

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

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

FILE NUMBER: 202-01

FILE TITLE: Workforce and Succession Planning Records

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

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

DISPOSITION: Temporary. Cut off after issuing each new plan. Destroy 5 years after cutoff.

AUTHORITY: GRS 2.2, item 020 (DAA-GRS-2017-0007-0002)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 202-01.2, 202-25.2, 1803-03.4

FILE NUMBER: 202-02

FILE TITLE: Office Personnel Register Files

FILE DESCRIPTION: Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting personnel arrival, departure, on leave and temporary duty travel, but not official personnel registers used as direct source documents for preparing morning reports.

DISPOSITION: Temporary. Cut off monthly. Destroy 6 months after cutoff. Earlier disposal is authorized.

AUTHORITY: NC1-330-77-004, item 202-02

PRIVACY ACT: DWHS P51



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FILE NUMBER: 202-03.1

FILE TITLE: Visitor Processing Records – Areas Requiring Highest Level Security Awareness

FILE DESCRIPTION: Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers for areas under maximum security (areas designated by the Interagency Security Committee as Facility Security Level V).

DISPOSITION: Temporary. Cut off annually after final entry or after date of document, as appropriate. Destroy 5 years after cutoff.

AUTHORITY: GRS 5.6, item 110 (DAA-GRS-2017-0006-0014)

PRIVACY ACT: DWHS P51

FORMER FILE NUMBER: 202-03a

FILE NUMBER: 202-03.2

FILE TITLE: Visitor Processing Records – All Other Facility Security Areas

FILE DESCRIPTION: Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers for all other facility security areas than those under highest level security (areas designated by the Interagency Security Committee as Facility Security Levels I through IV) .

DISPOSITION: Temporary. Cut off annually after final entry or date of document, as appropriate. Destroy 2 years after cutoff.

AUTHORITY: GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)

PRIVACY ACT: DWHS P51

FORMER FILE NUMBER(s): 202-03b, 917-02b

FILE NUMBER: 202-04 – RESCINDED

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

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

FILE NUMBER: 202-05.1

FILE TITLE: Classification Standards

FILE DESCRIPTION: Correspondence and other records relating to developing classification standards specific to a single Agency or all Agencies, including notice of Office of Personnel and Management (OPM) approval or disapproval.

DISPOSITION: Temporary. Cut off when position is superseded, cancelled or disapproved by OPM (as appropriate). Destroy 2 years after cutoff.

AUTHORITY: GRS 2.1, item 010 (DAA-GRS-2014-0002-0001)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 202-05.1.2.1

FILE NUMBER: 202-05.2

FILE TITLE: Position Descriptions (PDs) – Record Copy

FILE DESCRIPTION: Records held at the Human Resource office relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties and responsibilities.

DISPOSITION: Temporary. Cut off after position is abolished or description superseded. Destroy 2 years after cutoff.



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AUTHORITY: GRS 2.1, item 020 (DAA-GRS-2014-0002-0002)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 202-05.2.1, 202-18.1

FILE NUMBER: 202-05.3

FILE TITLE: Position Descriptions (PDs) – All other copies

FILE DESCRIPTION: All other copies of position descriptions. Includes

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

DISPOSITION: Temporary. Cut off and destroy when position is abolished or description superseded.

AUTHORITY: GRS 2.1, item 022 (DAA-GRS-2014-0002-0003)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 202-05.2.2, 202-18.2

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

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

FILE NUMBER: 202-05.4

FILE TITLE: Position Reviews and Classification Appeals

FILE DESCRIPTION: Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits, excluding OPM Classification certificate.

DISPOSITION: Temporary. Cut off after final decision. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.1, item 030 (DAA-GRS-2014-0002-0004)

PRIVACY ACT: OPM/GOVT-9

FORMER FILE NUMBER(s): 202-05.4a, 202-18.3

FILE NUMBER: 202-05.5

FILE TITLE: Certificates of Classification

FILE DESCRIPTION: Certificates of classification issued by OPM, stating final decision on a position classification appeal.

DISPOSITION: Temporary. Cut off after affected position is abolished or description is superseded. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.1, item 040 (DAA-GRS-2014-0002-0005)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 202-05.4b

FILE NUMBER: 202-06

FILE TITLE: Notifications of Personnel Actions

FILE DESCRIPTION: Copies of Standard Form 50 (SF 50), "Notification of Personnel Action," documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices.



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DISPOSITION: Temporary. Cut off and destroy when action is completed and business use ceases [such as on receipt of notification of completion of requested personnel action].

AUTHORITY: GRS 2.2, item 050 (DAA-GRS-2017-0007-0006)

PRIVACY ACT: OPM/GOVT-1

FORMER FILE NUMBER(s): 202-06, 202-15.3.1, 202-22.1, 202-22.3, 207-11.2

FILE NUMBER: 202-07

FILE TITLE: Office Personnel Information Files – Supervisor or Office Copies

FILE DESCRIPTION: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

DISPOSITION: Temporary. Review annually at the end of each year and destroy superseded documents. Cut off file when employee separation or transfer and destroy remaining documents 1 year after cutoff.

AUTHORITY: GRS 2.2, item 080 (DAA-GRS-2017-0007-0012)

PRIVACY ACT: OPM/GOVT-1

FORMER FILE NUMBER(s): 202-07, 202-46.1, 202-46.2

FILE NUMBER: 202-08.1

FILE TITLE: Job Vacancy Case Files – One-time Competitive and SES

FILE DESCRIPTION: Case files created for one-time competitive or Senior Executive Service (SES) announcements/selections when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

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

DISPOSITION: Temporary. Cut off after selection certificate is closed or final settlement of any associated litigation; whichever is later. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.1, Item 050 (DAA-GRS-2014-0002-0006)

PRIVACY ACT: OPM/GOVT-5

FORMER FILE NUMBER(s): 202-08.1, 202-08.2.1, 202-19.1, 202-50

FILE NUMBER: 202-08.2

FILE TITLE: Job Vacancy Case Files – Standing Register Competitive Multiple Positions



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FILE DESCRIPTION: Case files created for standing register competitive files for multiple positions filled over a period of time when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

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

DISPOSITION: Temporary. Cut off after termination of register. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.1, Item 051 (DAA-GRS-2014-0002-0007)

PRIVACY ACT: OPM/GOVT-5

FORMER FILE NUMBER(s): 202-08.1, 202-08.2.1, 202-19.1, 202-50

FILE NUMBER: 202-08.2.1 – Consolidated into 202-08.1 or 202-08.2, as applicable

FILE NUMBER: 202-08.2.2.1 – Consolidated into 202-14

FILE NUMBER: 202-08.2.2.2 – Consolidated into 202-14

FILE NUMBER: 202-08.2.2.3 – Consolidated into 202-14

FILE NUMBER: 202-08.3

FILE TITLE: Excepted Service Appointment Records – Disabilities

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

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

DISPOSITION: Temporary. Cut off after candidate enters on duty, is no longer under consideration, or declines offer. Destroy 5 years after cutoff.

AUTHORITY: GRS 2.1, Item 110 (DAA-GRS-2014-0002-0018)

PRIVACY ACT: OPM/GOVT-5



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

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

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

FILE NUMBER: 202-08.4

FILE TITLE: Excepted Service Appointment Records – All Other Appointees

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

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

DISPOSITION: Temporary. Cut off after candidate enters on duty, is no longer under consideration, or declines offer. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.1, Item 111 (DAA-GRS-2014-0002-0019)

PRIVACY ACT: OPM/GOVT-5

FILE NUMBER: 202-08.5

FILE TITLE: Interview Records

FILE DESCRIPTION: Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:

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

DISPOSITION: Temporary. Cut off when case file is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.1, item 090 (DAA-GRS-2014-0002-0008)

PRIVACY ACT: OPM/GOVT-5

FILE NUMBER: 202-09

FILE TITLE: Standards of Conduct Files

FILE DESCRIPTION: Documents on procedures to ensure that all personnel fully understand the standards of conduct and ethics. For example, procedures requiring that each individual periodically read applicable directives and sign a document indicating that the directives are understood.

DISPOSITION: Temporary. Cut off and destroy after the next periodic application or on inactivation of the office, whichever is first.

AUTHORITY: NC1-330-77-004, item 202-09

PRIVACY ACT: Not applicable



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FILE NUMBER: 202-10.1

FILE TITLE: Classified Information Nondisclosure Agreements – Records Maintained Separately from the Individual's Official Personnel File (OPF)

FILE DESCRIPTION: Copies of nondisclosure agreements, such as SF 312, "Classified Information Nondisclosure Agreement", signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files and are not filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).

DISPOSITION: Temporary. Cut off annually. Destroy 50 years after cutoff. **NOTE:** If maintained within the OPF, apply the disposition for the OPF.

AUTHORITY: GRS 4.2, item 121 (DAA-GRS-2015-0002-0003)

PRIVACY ACT: EEOC/GOVT-1

FILE NUMBER: 202-10.2

FILE TITLE: Security Awareness Files

FILE DESCRIPTION: Documents on procedures used to obtain compliance with security regulations by all personnel. For example, procedures requiring that each individual periodically read applicable security regulations and sign a memorandum indicating that the regulations are understood.

DISPOSITION: Temporary. Cut off and destroy after the next periodic application or on inactivation of the office, whichever is first.

AUTHORITY: NC1-330-77-004, item 202-10

PRIVACY ACT: Not applicable

FILE NUMBER: 202-10.3

FILE TITLE: Security Management Administrative Records

FILE DESCRIPTION: Records about routine facility security, protective services, and personnel security program administration not covered elsewhere. Includes:

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

NOTE: See 217 for series applying to Pentagon Force Protection Agency Security Records.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.6, item 010 (DAA-GRS-2021-0001-0001)

PRIVACY ACT: Not applicable

FILE NUMBER: 202-11 – Consolidated into 206-09.1

FILE NUMBER: 202-12.1 – RESCINDED per GRS 28

FILE NUMBER: 202-12.2

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

FILE DESCRIPTION: Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the OPF, (Standard Form 66 or its approved electronic equivalent documents an



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individual's employment history), excluding OPFs for employees separated prior to December 31, 1973 which must be scheduled by OPM.

DISPOSITION: Temporary. Cut off and destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner. **NOTE:** Hard copy OPF's may still be transferred to: National Archives and Records Administration, National Personnel Records Center (NPRC), St. Louis, MO 30 days after latest separation.

AUTHORITY: GRS 2.2, item 040 (DAA-GRS-2017-0007-0004)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-12.3

FILE TITLE: Short Term Records within Official Personnel File (OPF) or Electronic Official Personnel File (eOPF)

FILE DESCRIPTION: Records of separated employees saved to the "temporary" folder of the eOPF or filed on the left side of the hardcopy OPF , EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records. **NOTE:** Use File Numbers 202-12.4 for I-9 Forms and 202-12.5 – 202-12.7 for temporary performance-related records.

DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.

AUTHORITY: GRS 2.2, item 041 (DAA-GRS-2017-0007-0005)

PRIVACY ACT: OPM/GOVT-1

FORMER FILE NUMBER(s): 202-12.3, 202-15.2

FILE NUMBER: 202-12.4

FILE TITLE: Employment Eligibility Verification Forms

FILE DESCRIPTION: Employment Eligibility Verification form I-9 (Immigration and Naturalization Service Form) and any supporting documentation.

DISPOSITION: Temporary. Cut off after employee separates from service or transfers to another agency. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.2, item 060 (DAA-GRS-2017-0007-0007)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-12.5

FILE TITLE: Employee Performance File System Records: Unacceptable Performance Appraisals of Non-SES Employees

FILE DESCRIPTION: Appraisals of unacceptable performance for Non-Senior Executive Service (non-SES) employees (as defined in 5 USC 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents. Includes ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.

DISPOSITION: Temporary. Cut off after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.2, item 071 (DAA-GRS-2017-0007-0009)

PRIVACY ACT: OPM/GOVT-2

FORMER FILE NUMBER: 202-12.5.1.1

FILE NUMBER: 202-12.5.1.3.1 – Consolidated into 202-12.6



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FILE NUMBER: 202-12.5.1.3.2 – Consolidated into 202-12.6

FILE NUMBER: 202-12.5.1.4 – Consolidated into 202-12.6

FILE NUMBER: 202-12.5.2.1 – Consolidated into 202-12.7

FILE NUMBER: 202-12.5.2.2 – Consolidated into 202-12.8

FILE NUMBER: 202-12.5.2.2.1 – Consolidated into 202-12.8

FILE NUMBER: 202-12.5.2.3 – Consolidated into 202-12.8

FILE NUMBER: 202-12.6

FILE TITLE: Employee Performance File System Records: Acceptable Performance for Non-SES Employees

FILE DESCRIPTION: Acceptable performance records for employees as defined in 5 U.S.C. 4301(2)), excluding performance records superseded through an administrative, judicial, or quasi-judicial procedure (which are covered by File Number 202-12.7). Includes ratings of record, the performance plans on which ratings are based, and any other performance-related material required by an agency's performance appraisal system for Non-SES former employees (as defined in 5 USC 4301(2)).

DISPOSITION: Temporary. Cut off after appraisal is given. Destroy no later than 4 years after cutoff.

AUTHORITY: GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)

PRIVACY ACT: OPM/GOVT-2

FORMER FILE NUMBER(s): 202-12.5.1.3.1, 202-12.5.1.3.2, 202-12.5.1.4

FILE NUMBER: 202-12.7

FILE TITLE: Employee Performance File System Records: Superseded Performance Records

FILE DESCRIPTION: Superseded performance records of both Senior Executive Service (SES) and Non-SES employees (as defined in 5 USC 4301(2)), superseded through an administrative, judicial, or quasi-judicial procedure.

DISPOSITION: Temporary. Cut off and destroy when superseded.

AUTHORITY: GRS 2.2, item 073 (DAA-GRS-2017-0007-0011)

PRIVACY ACT: OPM/GOVT-2

FORMER FILE NUMBER(s): 202-12.5.1.2, 202-12.5.2.1

FILE NUMBER: 202-12.8

FILE TITLE: Employee Performance File System Records: Records of Senior Executive Service (SES) Employees

FILE DESCRIPTION: Performance records for SES employees (as defined in 5 USC 3132a(2)). Includes records of performance plan ratings boards, ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.

DISPOSITION: Temporary. Cut off annually in the year in which rating was completed. Destroy 5 years after cutoff.

AUTHORITY: GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)

PRIVACY ACT: OPM/GOVT-2

FORMER FILE NUMBER(s): 202-12.5.2.2.1, 202-12.5.2.2, 202-12.5.2.3

FILE NUMBER: 202-13.1

FILE TITLE: Senior Executive Service Candidate Development Program (SESCDP) Program Files

FILE DESCRIPTION: Records documenting program scope, policies, planning, budget, and curriculum planning for the SESCO, an OPM-approved training program designed to develop employees with strong



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executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.

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

AUTHORITY: GRS 2.6, item 040 (DAA-GRS-2016-0014-0004)

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-13.2

FILE TITLE: Senior Executive Service Candidate Development Program (SESCDP) Case Files on Participants

FILE DESCRIPTION: Records documenting training, developmental assignments, mentor agreements and evaluations, and SES development plans for the SESCO, an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.

DISPOSITION: Temporary. Cut off and destroy upon certification by OPM's Qualifications Review Board (QRB) or 1 year after separation from SESCO, whichever applies.

AUTHORITY: GRS 2.6, item 041 (DAA-GRS-2016-0014-0005)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-14

FILE TITLE: Job Application Packages

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

- Application
- Resume
- Supplemental forms
- Other attachments

DISPOSITION: Temporary. Cut off on date of submission. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)

PRIVACY ACT: OPM/GOVT-5

FORMER FILE NUMBER(s): 202-08.2.2.1, 202-08.2.2.2, 202-08.2.2.3, 202-14

FILE NUMBER: 202-15.1 – Consolidated into 202-23

FILE NUMBER: 202-15.2 – Consolidated into 202-12.3

FILE NUMBER: 202-15.3.1 – Consolidated into 202-06

FILE NUMBER: 202-15

FILE TITLE: Separation Program Management Records – Reductions in Force (RIFs)

FILE DESCRIPTION: Records documenting the general work process to release career, temporary, and political appointment employees from employment status involving records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs. Includes:

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



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DISPOSITION: Temporary. Cut off after date of program closure. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.5, item 011 (DAA-GRS-2014-0004-0002)

PRIVACY ACT: DWHS P04

FORMER FILE NUMBER(s): 202-15.3.2, 207-21

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

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

FILE NUMBER: 202-16

FILE TITLE: Separation Program Management Files – No Action Taken

FILE DESCRIPTION: Records documenting the general work process to release career, temporary, and political appointment employees from employment status not specific to an Agency separation initiative. Includes:

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

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

AUTHORITY: GRS 2.5, item 010 (DAA-GRS-2014-0004-0001)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 202-15.3.3, 207-21

FILE NUMBER: 202-17

FILE TITLE: Volunteer Service Case Files

FILE DESCRIPTION: Records documenting service performed without compensation by people not under a Federal appointment, excluding records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits (which are covered under 202-12.1 or 202-12.2, as applicable).

Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include:

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

NOTE: Records are maintained by the organizations within OSD using the services of volunteers.

DISPOSITION: Temporary. Cut off when volunteer departs service. Destroy 4 years after cutoff.

AUTHORITY: GRS 2.2, item 110 (DAA-GRS-2017-0007-0016)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-18.1 – Consolidated into 202-05.2

FILE NUMBER: 202-18.2 – Consolidated into 202-05.3

FILE NUMBER: 202-18.3 – Consolidated into 202-05.4

FILE NUMBER: 202-18

FILE TITLE: Volunteer Service Case Files – Rejected or Withdrawn Applications

FILE DESCRIPTION: Case files on individuals whose applications to perform services without compensation (volunteering) were rejected or withdrawn, and all related (supporting) documentation.

DISPOSITION: Temporary. Cut off upon withdrawal or rejection. Destroy 1 year after cutoff.



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AUTHORITY: GRS 2.2, item 111 (DAA-GRS-2017-0007-0017)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-19

FILE TITLE: Volunteer Service Program Administrative Records

FILE DESCRIPTION: Records documenting routine administration, internal procedures, and general activities, including:

- General correspondence
- Annual reports on volunteer activities

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.2, item 100 (DAA-GRS-2017-0007-0015)

PRIVACY ACT: Not applicable

FILE NUMBER: 202-19.1 – Consolidated into 202-08.1 or 202-08.2, as applicable

FILE NUMBER: 202-19.2 – Consolidated into 202-08.1 or 202-08.2, as applicable

FILE NUMBER: 202-20.1.1—Consolidated into 202-45

FILE NUMBER: 202-20.1.2 – Consolidated into 202-45

FILE NUMBER: 202-20.2 – Consolidated into 202-45

FILE NUMBER: 202-20.3 – Consolidated into 202-45

FILE NUMBER: 202-21 – Consolidated into 202-45

FILE NUMBER: 202-22.1 – Consolidated into 202-06

FILE NUMBER: 202-22.2

FILE TITLE: Notification of Personnel Action Files - Fiscal

FILE DESCRIPTION: Pay or fiscal copy.

DISPOSITION: Temporary. Cut off after audit of related pay records by the GAO. Destroy 2 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-21b

PRIVACY ACT: OPM/GOVT-1

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

FILE NUMBER: 202-22.4

FILE TITLE: Notification of Personnel Action Files - DoDDS Inter-Intraregional and/or Transfer and Reassignment File

FILE DESCRIPTION: Applications, reports, memos, correspondence on the reassignment of personnel between and among regions through the DoDDS Interregional transfer and/or Intraregional Reassignment Programs.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.

AUTHORITY: NC1-330-87-001, item 3

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-22.5

FILE TITLE: Notification of Personnel Action Files - Educator Career Program



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FILE DESCRIPTION: Applications, reports, memos, correspondence on the lateral transfer and opportunities for promotion of DoDDS personnel afforded by the DoDDS Educator Career Program.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.

AUTHORITY: NC1-330-87-001, item 4

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-23

FILE TITLE: Employee Management Administrative Records

FILE DESCRIPTION: Records on the routine office program support, administration, and human resources operations. Includes:

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

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 202-01.1, 202-15.1, 202-23.1, 202-23.2, 202-32.1

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

FILE NUMBER: 202-24

FILE TITLE: Civilian Personnel Administration Standards

FILE DESCRIPTION: Documentation of policies, procedures, and standards governing civilian personnel administration.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-24a

PRIVACY ACT: Not applicable

FILE NUMBER: 202-25.1

FILE TITLE: Civilian Manpower and Personnel Records Files - Policies, Procedures, and Standards

FILE DESCRIPTION: Records that relate to the development and implementation of policies, procedures, and standards for civilian personnel management and studies, surveys or other material that relate to National Manpower Administration that is of interest to the Department of Defense.

DISPOSITION: Permanent. Cut off 1 year after implementation of the policy, procedures or standards. Transfer to NARA 20 years after cutoff. **NOTE:** Destroy duplicate and reproduced copies when the policy, standard, or procedure is rescinded or revised, unless part of a case file.

AUTHORITY: NC1-330-77-004, item 202-25a

PRIVACY ACT: Not applicable



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

FILE NUMBER: 202-25.3

FILE TITLE: Civilian Manpower and Personnel Records Files - Records that Support Reports and Other Statistical Data – Case Files

FILE DESCRIPTION: Records that support reports and other statistical data required by law or regulation such as percentages or minorities, statistics or progress achieved in implementation of equal employment opportunity (EEO) program, grade distribution and the like.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-25c(1)

PRIVACY ACT: OPM/GOVT-1

FORMER FILE NUMBER: 202-25.3a

FILE NUMBER: 202-25.3b – RESCINDED

FILE NUMBER: 202-26.1

FILE TITLE: Department of Defense Civilian Employees Health Unit Records

FILE DESCRIPTION: These records contain forms, correspondence, and other records on an employee's medical history, occupational injuries or diseases, physical examinations, and all other treatment received in health units. Included are industrial hygiene consultations, laboratory and X-ray findings, reports of pulmonary function tests, audiograms, records tests, and chemical hazards, clinical record cover sheets or equivalent.

NOTE 1: These records are not to be confused with hospital in- and out-patient clinical records retained for 75 years after birth date for nonmilitary persons pursuant to other approved records control schedules.

NOTE 2: Original pre-employment, disability retirement, and fitness for duty examinations are to be filed in the OPF upon separation of the employee. FPM Supplement 293-31.

NOTE 3: Longer retention periods may be required by Regulatory Agencies such as: Occupational Safety and Health Administration (OSHA), Nuclear Regulatory Commission (10 CFR, Part 20), and Environmental Protection Agency (EPA). In this event, contact RDD to submit a new SF-115/schedule the record.

DISPOSITION: Temporary. Cut off upon separation of employee and retire to the National Personnel Records Center at the end of each calendar year. Destroy 30 years after cutoff (See note 3 above).

AUTHORITY: NC1-330-81-007, item 1

PRIVACY ACT: OPM/GOVT-10

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

FILE NUMBER: 202-26.2

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

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

- Personal and occupational health histories



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

DISPOSITION: Temporary. Cut off upon separation of employee or when the Official Personnel File (OPF) is destroyed, whichever is later. Destroy 30 years after cutoff. **NOTE:** When an employee transfers to another Federal agency, the long-term Occupational Individual Medical Case Files must be transferred to the gaining agency at the same time as the employee's OPF in accordance with 5 CFR 293, Subpart E - §293.510(a).

AUTHORITY: GRS 2.7, item 060 (DAA-GRS-2017-0010-0009)

PRIVACY ACT: OPM/GOVT-10

FORMER FILE NUMBER: 202-26.2b

FILE NUMBER: 202-26.3

FILE TITLE: Department of Defense Civilian Employee Occupational Individual Medical Case Files – Short-Term Records

FILE DESCRIPTION: These files consist of temporary or short-term medical records as defined in the FPM 293-31. These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes short-term records associated with:

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

DISPOSITION: Temporary. Cut off at separation or transfer of the employee. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.7, item 061 (DAA-GRS-2017-0010-0010)

PRIVACY ACT: OPM/GOVT-10

FORMER FILE NUMBER: 202-26.2c

FILE NUMBER: 202-26.4

FILE TITLE: Department of Defense Civilian Employee Occupational Individual Medical Case Files – Created Prior to Employee Medical File System

FILE DESCRIPTION: These files consist of Individual Employee Health Case Files created before establishment of the EMF system that have been retired to an FRC.

DISPOSITION: Temporary. Cut off upon retirement to a FRC. Destroy 60 years after cutoff.

AUTHORITY: GRS 2.7, item 062 (DAA-GRS-2017-0010-0011)

PRIVACY ACT: OPM/GOVT-10

FORMER FILE NUMBER: 202-26.2d

FILE NUMBER: 202-27

FILE TITLE: Military Personnel



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FILE DESCRIPTION: Official Military Personnel Records created as the result of detail or assignment to the OSD that normally would be made a part of the individual's personnel file and other pertinent and related correspondence. Orders and citations for the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, and OSD Identification Badge.

DISPOSITION: Records maintained by the Service Representatives in OSD Military Personnel are considered unit-level files for the Service Elements and are maintained in accordance with the appropriate Service regulations.

AUTHORITY: NC1-330-77-004, item 202-26

PRIVACY ACT: DWHS P51

FILE NUMBER: 202-28.1

FILE TITLE: Military Manpower and Personnel Records – Policies, Procedures and Standards

FILE DESCRIPTION: Records on the development and implementation of policies, procedures, and standards for military personnel management and studies, surveys, or other material that relate to National Manpower Administration that is of interest to the Department of Defense.

DISPOSITION: Permanent. Cut off when discontinued. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-27a

PRIVACY ACT: Not applicable

FILE NUMBER: 202-28.2

FILE TITLE: Military Manpower and Personnel Records Files - Authorizations

FILE DESCRIPTION: OSD manpower authorizations, justification folders for new positions or deletions; control over grade requirements. **NOTE:** These are not individual personnel files.

DISPOSITION: Temporary. Cut off when superseded or obsolete. Destroy 40 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-27b

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-28.3

FILE TITLE: Military Manpower and Personnel Records Files – Identification Badge

FILE DESCRIPTION: Policy matters on the OSD Identification Badge.

DISPOSITION: Temporary. Cut off when superseded. Destroy 3 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-27c

PRIVACY ACT: Not applicable

FILE NUMBER: 202-28.4

FILE TITLE: Military Manpower and Personnel Records Files – Internal Management and Operational Control

FILE DESCRIPTION: Records that relate to the internal management and operational aspects or military personnel administration, such as records on position control; determinations and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded; and other reporting records covering military personnel strengths that are not covered under other items in this Instruction.

DISPOSITION: Temporary. Cut off annually. Destroy 25 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-27d



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PRIVACY ACT: Not applicable

FILE NUMBER: 202-28.4b – RESCINDED

FILE NUMBER: 202-28.5

FILE TITLE: Military Manpower and Personnel Records Files – Records that Support Reports and Other Statistical Data

FILE DESCRIPTION: Records that support reports and other statistical data required by law or regulation.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-27e

PRIVACY ACT: Not applicable

FILE NUMBER: 202-28.5b – RESCINDED

FILE NUMBER: 202-29

FILE TITLE: Individual Accounting Files

FILE DESCRIPTION: Records that relate to accounting for individuals.

DISPOSITION: Temporary. Cut off and destroy individual leave authorization when adjustments are made.

AUTHORITY: NC1-330-77-004, item 202-28

PRIVACY ACT: Not applicable

FILE NUMBER: 202-30

FILE TITLE: Military Leave Files

FILE DESCRIPTION: Records that relate to leave of military personnel.

DISPOSITION: Records maintained by the Service Representatives in OSD Military Personnel are considered unit-level files for the Service Elements and maintained in accordance with the appropriate Service regulations.

AUTHORITY: NC1-330-77-004, item 202-29

PRIVACY ACT: Not applicable

FILE NUMBER: 202-31

FILE TITLE: Individual Actions Files

FILE DESCRIPTION: Correspondence on individual actions about personnel, that do not qualify as records of permanent value; records of criticism or complaint when no official action is taken.

DISPOSITION: Temporary. Cut off when individual is released from OSD duty. Destroy 6 months after cutoff.

AUTHORITY: NC1-330-77-004, item 202-30

PRIVACY ACT: OPM/GOVT-2

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

FILE NUMBER: 202-32

FILE TITLE: Statistical Reports File – Records Supporting Reports



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FILE DESCRIPTION: Records submitted by the Military Departments supporting reports, policy statements, standardized procedures, criteria, and other matters on the overall administration of military personnel.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-32b

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 202-32.2

FILE NUMBER: 202-33.1

FILE TITLE: Policy and Procedure Records Files - Military Personnel Statistical Summaries and Reports

FILE DESCRIPTION: Statistical summaries and reports on military personnel training, including outlines of the course, names of individuals attending, copies of speeches, lecture material, required reading material and all other material relating to educational programs conducted by the OSD independently of the Military Departments.

DISPOSITION: Permanent. Cut off when course is revised or discontinued. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-33a(1)

PRIVACY ACT: Not applicable

FILE NUMBER: 202-33.1b – RESCINDED

FILE NUMBER: 202-33.2

FILE TITLE: Policy and Procedure Records Files - Military Personnel Policies, Procedures, and Standards

FILE DESCRIPTION: Documentation of policies, procedures and standards governing military personnel administration, including position evaluation and assignment, and military personnel quotas for both normal and mobilization periods.

DISPOSITION: Permanent. Cut off when discontinued. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-33b(1)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 202-33.2a

FILE NUMBER: 202-33.2b – RESCINDED

FILE NUMBER: 202-34

FILE SERIES: Internal Management Files

FILE DESCRIPTION: Correspondence on internal management and operations affecting military personnel administration.

DISPOSITION: Temporary. Cut off annually. Destroy material 5 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-31

PRIVACY ACT: Not applicable

FILE NUMBER: 202-35

FILE TITLE: Military Awards



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FILE DESCRIPTION: Awards approved by the Secretary of Defense for presentations such as the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, the OSD Identification Badge, and comparable awards.

DISPOSITION: Temporary. Cut off upon approval. Destroy 15 years after cutoff. See File Number 202-27 for disposition of copies of awards to individual Military Services.

AUTHORITY: NC1-330-77-017, item 1

PRIVACY ACT: DWHS P51

FORMER FILE NUMBER(s): 202-35, 202-45.1.4

FILE NUMBER: 202-36

FILE TITLE: Military Acceptance Files

FILE DESCRIPTION: Records on the establishment of policy, standards, and criteria governing admission and acceptance for military service and means of obtaining individuals in critical skills areas, including pay benefits, allowance, and other associated matters.

DISPOSITION: Permanent. Cut off upon close of case. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-34a

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 202-36a

FILE NUMBER: 202-36b – RESCINDED

FILE NUMBER: 202-37

FILE TITLE: Labor Management Relations Agreement Negotiation Records

FILE DESCRIPTION: Records related to negotiations with labor. Includes:

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

DISPOSITION: Temporary. Cut off upon the expiration of the agreement or final resolution of the case. Destroy 5 years after cutoff.

AUTHORITY: GRS 2.3, item 130 (DAA-GRS-2018-0002-0015)

PRIVACY ACT: DoDEA – Use DoDEA 21; All Others – Use DWHS P37

FORMER FILE NUMBER(s): 202-37.1, 202-37.2, 1802-02.2a, 1802-02.2b

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

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

FILE NUMBER: 202-38

FILE TITLE: Labor Arbitration (Negotiated Grievance Procedure) Case Records

FILE DESCRIPTION: Records of work-place disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration.



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DISPOSITION: Temporary. Cut off after close of case. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.3, item 090 (DAA-GRS-2018-0002-0010)

PRIVACY ACT: DoDEA – Use DoDEA 21; All Others – Use DWHS P37

FILE NUMBER: 202-39

FILE TITLE: Security Policies Application

FILE DESCRIPTION: Documents concerning general information applicable to personnel security. Security of classified matter in the personnel office and related material.

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

AUTHORITY: NC1-330-77-004, item 202-36

PRIVACY ACT: Not applicable

FILE NUMBER: 202-40.1

FILE TITLE: Personnel Security and Access Clearance Records – Individuals Issued Clearances

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

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

Exclusion: Information Systems Security Records (See File Numbers 1601-02 and 1606-06)

DISPOSITION: Temporary. Cut off when employee or contractor relationship ends. Destroy 5 years after cutoff.

AUTHORITY: GRS 5.6, item 181 (DAA-GRS-2021-0001-0008)

PRIVACY ACT: OPM/GOVT-1

FORMER FILE NUMBER(s): 202-40.1, 202-40.3

FILE NUMBER: 202-40.2

FILE TITLE: Personnel Security Clearance Files – Report Summaries

FILE DESCRIPTION: Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.

DISPOSITION: Temporary. Cut off upon date of clearance determination. Destroy 5 years after cutoff.

AUTHORITY: GRS 5.6, item 170 (DAA-GRS-2017-0006-0022)

PRIVACY ACT: DUSDI 02-DoD

FORMER FILE NUMBER(s): 202-40.2, 202-40.3

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

FILE NUMBER: 202-40.4

FILE TITLE: Personnel Security and Access Clearance Records – Individuals Not Issued Clearances

FILE DESCRIPTION: Records about security clearances, and other clearances for access to Government facilities or to controlled unclassified information (CUI), created to support initial favorable eligibility



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determinations, periodic reinvestigations, or to implement a continuous evaluation program that pertain to individuals who have NOT been issued clearances (See 202-40.1 for records pertaining to individuals for whom clearances have been issued). Includes:

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

Exclusion: Copies of investigative reports (see File Number 202-40.2 or (for DOHA) 404-02)

DISPOSITION: Temporary. Cut off when consideration of the candidate ends. Destroy 1 year after cutoff.

AUTHORITY: GRS 5.6, item 180 (DAA-GRS-2021-0001-0007)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-41

FILE TITLE: Special Assignments

FILE DESCRIPTION: Documents containing information on the security clearance and authorization for access to particularly sensitive classified matter. Not including reports of investigation, counterintelligence, or clearance documents filed in the official personnel folder.

DISPOSITION: Temporary. Cut off and destroy on transfer or separation of individual concerned.

AUTHORITY: NC1-330-77-004, item 202-38

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-42

FILE TITLE: Employment and Financial Interest Statements

FILE DESCRIPTION: Statements of employment and financial interests, and related papers

DISPOSITION: Temporary. Destroy 2 years after employee leaves a position that requires a statement, or 2 years after the employee leaves the Agency, whichever is earlier.

AUTHORITY: NC1-330-77-004, item 202-39

PRIVACY ACT: OGE/GOVT-1

FILE NUMBER: 202-43.1

FILE TITLE: Equal Employment Opportunity (EEO) Discrimination Complaint – Formal Process

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

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

DISPOSITION: Temporary. Cut off after resolution of case. Destroy 7 years after cutoff.

AUTHORITY: GRS 2.3, item 111 (DAA-GRS-2018-0002-0013)

PRIVACY ACT: EEOC/GOVT-1

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



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FILE NUMBER: 202-43.3

FILE TITLE: Equal Employment Opportunity (EEO) Discrimination Complaint – Informal Process

FILE DESCRIPTION: Records of cases that do not result in an EEO complaint but resolved prior to the formal process stage. Includes:

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

DISPOSITION: Temporary. Cut off after resolution of case. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.3, item 110 (DAA-GRS-2018-0002-0012)

PRIVACY ACT: Not applicable

FILE NUMBER: 202-43.4

FILE TITLE: Contractor Compliance with Equal Employment Opportunity (EEO) Regulations

FILE DESCRIPTION: Records documenting contractor compliance with EEO regulations. Includes Reviews, background documents and correspondence relating to contractor employment practices.

DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.

AUTHORITY: GRS 2.3, item 120 (DAA-GRS-2018-0002-0014)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 202-43.4.1

FILE NUMBER: 202-43.4.2 – Consolidated into 202-62

FILE NUMBER: 202-43.5 – RESCINDED per GRS Transmittal 28

FILE NUMBER: 202-43.6 – Consolidated into 202-62

FILE NUMBER: 202-43.7 – Consolidated into 202-53

FILE NUMBER: 202-43.8.1 – Consolidated into 202-62

FILE NUMBER: 202-43.8.2 – Consolidated into 202-62

FILE NUMBER: 202-43.9 (formerly 202-43.9.1) Consolidated into 202-53

FILE NUMBER: 202-43.10

FILE TITLE: Reasonable or Religious Accommodation Case Files

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

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



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DISPOSITION: Temporary. Cut off upon employee separation from the agency or after all appeals are concluded, whichever is later. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.3, item 020 (DAA-GRS-2022-0001-0002)

PRIVACY ACT: DoD 007

FORMER FILE NUMBER(s): 202-43.9.2

FILE NUMBER: 202-44

FILE TITLE: Workers' Compensation (Personnel Injury Compensation) Records

FILE DESCRIPTION: Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death whether or not a claim for compensation was made. Includes:

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

Exclusion 1: Copies filed in the Employee Medical Folder.

Exclusion 2: Records created/maintained by the Department of Labor Office of Workers' Compensation.

DISPOSITION: Temporary. Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut off.

AUTHORITY: GRS 2.4, Item 100 (DAA-GRS-2016-2015-0012)

PRIVACY ACT: DMDC 27-DoD

FILE NUMBER: 202-45

FILE TITLE: Employee Incentive Award Records

FILE DESCRIPTION: Agency awards files, including recommendations, approved nominations, correspondence, and reports about Agency-sponsored cash and non-cash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost-savings awards, and time-off awards). Also includes correspondence about awards from other Federal Agencies or non-Federal organizations and to former employees. **NOTE:** Please use 202-35 for Military Awards, 202-66 for DoD Incentives Award Board (IAB) case files, 202-67 for DoD-wide competitive/non-competitive awards, and 202-69 or 202-70 for official case files and awards packages submitted to WHS/HRD on OSD employees nominated for Incentive Awards and Honorary Awards issued under the authority delegated to the Heads of the OSD Components, Defense Agencies, Field Activities and Military Departments.

DISPOSITION: Temporary. Cut off annually or upon approval or disapproval, whichever is later. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 202-20.1.1, 202-20.1.2, 202-20.2, 202-20.3, 202-21, 202-45.1.1, 202-45.1.2, 202-45.1.3

FILE NUMBER: 202-45.1.2 – Consolidated into 202-45

FILE NUMBER: 202-45.1.3 – Consolidated into 202-45

FILE NUMBER: 202-45.1.4 – Consolidated into 202-35

FILE NUMBER: 202-46.1 – Consolidated into 202-07



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FILE NUMBER: 202-46.2 – Consolidated into 202-07

FILE NUMBER: 202-46.3 – RESCINDED

FILE NUMBER: 202-46

FILE TITLE: Employee Assistance Program (EAP) Counseling Records related to Performance and Conduct

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

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

DISPOSITION: Temporary. Cut off and destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.

AUTHORITY: GRS 2.7, item 090 (DAA-GRS-2017-0010-0014)

PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-47

FILE TITLE: Employee Assistance Program (EAP) Counseling Records not related to Performance and Conduct

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

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



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DISPOSITION: Temporary. Cut off after termination of counseling for adults or after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements. Destroy 7 years after cutoff for adults and 3 years after cutoff for minors.

AUTHORITY: GRS 2.7, item 091 (DAA-GRS-2017-0010-0015)

PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-48.1

FILE TITLE: Mission-Related Training Program Agency Course Materials

Records relating to personnel training, including record copies of speeches, lecture material, required reading material, and other materials (such as each manual, syllabus, textbook, and other training aids) related thereto.

DISPOSITION: Temporary. Cut off when course is revised or discontinued. Destroy 40 years after cutoff.

AUTHORITY: NC1-330-77-004, item 202-24b(1)

PRIVACY ACT: Not applicable

FILE NUMBER: 202-48.2

FILE TITLE: Non-Mission Employee Training Program Records

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

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

NOTE: Financial records related to purchase of training or travel for training are covered under File Number 206-09.1.

DISPOSITION: Temporary. Cut off annually or when superseded or obsolete (as appropriate). Destroy 3 years after cutoff.

AUTHORITY: GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 202-48.2.1, 202-48.2.2, 202-48.4

FILE NUMBER: 202-48.1.2 – RESCINDED

FILE NUMBER: 202-48.2.1 – Consolidated into 202-48.2

FILE NUMBER: 202-48.2.2 – Consolidated into 202-48.2



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FILE NUMBER: 202-48.3

FILE TITLE: Individual Employee Training Records

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

Records may include:

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

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff, 1 year upon employee separation or when superseded or obsolete, whichever comes first.

AUTHORITY: GRS 2.6, item 030 (DAA-GRS-2016-0014-0003)

PRIVACY ACT: Not applicable

FILE NUMBER: 202-48.4 – Consolidated into 204-48.2

FILE NUMBER: 202-49.1 – Consolidated into 202-77

FILE NUMBER: 202-49.2 – Consolidated into 202-77

FILE NUMBER: 202-49.2.1 – Consolidated into 202-77

FILE NUMBER: 202-49.2.2 – Consolidated into 202-77

FILE NUMBER: 202-49.3 – Consolidated into 202-77

FILE NUMBER: 202-49

FILE TITLE: Ethics Training Records

FILE DESCRIPTION: Records include but are not limited to:

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

DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff or when superseded or obsolete, whichever is sooner.

AUTHORITY: GRS 2.6, item 020 (DAA-GRS-2016-0014-0002)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 202-49.4

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

FILE NUMBER: 202-51.1

FILE TITLE: Employee Drug Test Plans, Procedures, and Scheduling Records

FILE DESCRIPTION: Drug testing program records pertaining to the development of procedures (excluding documents filed in records sets of formal issuances such as directives, procedures handbooks, etc.), such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes:



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

NOTE: Consolidated statistical and narrative reports concerning the operation of the Agency programs, including annual reports to Congress, as required by Public Law 100-71, 503(f), are covered in File Number 214-08. Disciplinary action case files on actions taken against employees for drug use, possession, failure to comply with drug testing procedures, and similar matters are covered by 202-49.1, 202-49.2 or 202-49.3, as applicable.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or when superseded or obsolete.

AUTHORITY: GRS 2.7, item 100 (DAA-GRS-2017-0010-0016)

PRIVACY ACT: OPM/GOVT-10

FORMER FILE NUMBER(s): 202-51.1, 202-51.3

FILE NUMBER: 202-51.2

FILE TITLE: Employee Drug Test Acknowledgement of Notice Forms

FILE DESCRIPTION: Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging that they have received notice and they may be tested.

DISPOSITION: Temporary. Cut off and destroy when employee separates from testing-designated position.

AUTHORITY: GRS 2.7, item 110 (DAA-GRS-2017-0010-0017)

PRIVACY ACT: OPM/GOVT-10

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

FILE NUMBER: 202-51.4

FILE TITLE: Employee Drug Testing Specimen Records

FILE DESCRIPTION: Identifying data on each specimen, recorded at each collection site in the order the specimens were collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, e.g., chain-of-custody records.

DISPOSITION: Temporary. Cut off annually or after date of last entry, whichever is later. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.7, item 120 (DAA-GRS-2017-0010-0018)

PRIVACY ACT: OPM/GOVT-10

FORMER FILE NUMBER(s): 202-51.4.1, 202-51.4.2

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

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

FILE NUMBER: 202-51.5

FILE TITLE: Employee Drug Test Results – Positive Results

FILE DESCRIPTION: Positive test results for employees consisting of records documenting individual test results, including testing reports, notifications of employees and employing offices, and documents relating to follow-up testing. **NOTE:** Drug Testing results for applicants are covered under File Numbers 202-08.1 or 202-08.2.



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DISPOSITION: Temporary. Cut off and destroy when employee leaves the Agency or when 3 years old, whichever is later.

AUTHORITY: GRS 2.7, item 130 (DAA-GRS-2017-0010-0019)

PRIVACY ACT: OPM/GOVT-10

FORMER FILE NUMBER: 202-51.5a

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

FILE NUMBER: 202-51.6

FILE TITLE: Employee Drug Test Results – Negative Results

FILE DESCRIPTION: Negative test results consisting of records documenting individual test results, including testing reports, notifications of employees and employing offices, and documents relating to follow-up testing.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.7, item 131 (DAA-GRS-2017-0010-0020)

PRIVACY ACT: OPM/GOVT-10

FORMER FILE NUMBER: 202-51.5c

FILE NUMBER: 202-52.1

FILE TITLE: Combined Federal Campaign Files

FILE DESCRIPTION: Records of the Voluntary Campaign Management Office, which oversees the planning, development, implementation, and overall management and administration of the annual DoD Combined Federal Campaign (CFC) for the National Capital Area, and Overseas, in the DoD U.S. savings Bonds Program, OSD Blood Donor Program, and emergency of disaster relief fund-raising as directed by the Office of Personnel Management (5 CFR, Part 950, Section 950.604). CFC Campaign files consists of documents on CFC special events, weekly statistical reports, historical information on previous campaigns, DoD CFC account numbers, DoD directives, DoD Loaned Executives, CFC national Committee Meetings, CFC Chair/Vice Chair/Campaign Managers, Retiree Access, Campaign Manager Meetings, Personnel Hilites articles, and general correspondence for domestic, and overseas campaigns.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: N1-330-00-004, item 1

PRIVACY ACT: Not applicable

FILE NUMBER: 202-52.2

FILE TITLE: Savings Bonds Campaign Files

FILE DESCRIPTION: Documents on Savings Bonds special events, end-of-campaign statistical reports, semiannual bond reports/ mailing list, DoD component campaign plans; DoD Directives, Savings Bonds legislation, Savings Bonds Chair/Vice Chair/Campaign Managers, Personnel Hilites articles, general correspondence and Campaign Manager Guides.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: N1-330-00-004, item 2

PRIVACY ACT: Not applicable



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FILE NUMBER: 202-52.3

FILE TITLE: Blood Donor Program Files

FILE DESCRIPTION: Documents on Blood Council Meetings, OSD Blood Recruiters, DoD directives, and general correspondence files.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: N1-330-00-004, item 3

PRIVACY ACT: Not applicable

FILE NUMBER: 202-52.4 – RESCINDED

FILE NUMBER: 202-53

FILE TITLE: Employee Relations Programs' Administrative Records

FILE DESCRIPTION: Records documenting routine activities related to programs such as reasonable or religious accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:

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

EXCLUSION 1: Records specific to individual cases.

EXCLUSION 2: Reports to external oversight agencies (covered by 214-08 (GRS 5.7, item 050)).

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.3, Item 010 (DAA-GRS-2022-0001-0001)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 202-43.9 (formerly 202-43.9.1), 202-53.1, 202-61

FILE NUMBER: 202-54.1

FILE TITLE: Alternative Dispute Resolution (ADR) Case Files – Formal Process

FILE DESCRIPTION: ADR case files where the records are generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances. Includes:

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

DISPOSITION: Temporary. Cut off after case is closed. Destroy 7 years after cutoff.

AUTHORITY: GRS 2.3, item 071 (DAA-GRS-2018-0002-0008)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 202-53.2



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FILE NUMBER: 202-54.2

FILE TITLE: Alternative Dispute Resolution (ADR) Case Files – Informal Process

FILE DESCRIPTION: ADR case files where the records are not associated with another employee dispute, complaint, or grievance process. Includes:

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

DISPOSITION: Temporary. Cut off after case is closed. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.3, item 070 (DAA-GRS-2018-0002-0007)

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-55

FILE TITLE: Telework/Alternate Worksite Programs Case Files

FILE DESCRIPTION: Includes:

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

DISPOSITION: Temporary. Cut off when superseded or obsolete or 1 year after the end of employee's participation in the program, whichever is sooner. Destroy at cutoff.

AUTHORITY: GRS 2.3, item 040 (DAA-GRS-2018-0002-0004)

PRIVACY ACT: Not applicable

FILE NUMBER: 202-56

FILE TITLE: Telework/Alternate Worksite Program Files

FILE DESCRIPTION: Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes:

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

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.3, item 080 (DAA-GRS-2015-0007-0021)

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-57

FILE TITLE: Occupational Health and Safety Training Records

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



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Excursion 1: Records appropriate for long-term retention in an Official Personnel File, such as academic transcripts and professional licenses, are covered under File Number 202-12.2 (GRS 2.2, item 040).

Excursion 2: Training records related to job-specific activities or that may impact individual occupational health are covered under File Numbers 202-26.2 or 202-26.3, as applicable.

DISPOSITION: Temporary. Cut off after training participation or when superseded, whichever is applicable. Destroy 5 years after cutoff.

AUTHORITY: GRS 2.7, item 030 (DAA-GRS-2017-0010-0003)

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-58

FILE TITLE: Defense Injury and Unemployment Compensation System (DIUCS) Master File

FILE DESCRIPTION: Web-based, Department of Defense-wide system for the processing of claims under the Federal Employees' Compensation Act (FECA) seeking monetary, medical and similar benefits for injuries and death sustained by civilian employees while performing assigned duties.

DISPOSITION: Temporary. Cut off when case is closed or completed by the Department of Labor and all related activity has ceased. Destroy 10 years after cutoff.

AUTHORITY: N1-330-10-007, item 1

PRIVACY ACT: DPR 35

FILE NUMBER: 202-59

FILE TITLE: Phased Retirement Administrative Records

FILE DESCRIPTION: Records related to managing the program, including:

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

Exclusion: This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.

DISPOSITION: Temporary. Cut off annually or after revision or replacement (as appropriate). Destroy 3 years after cutoff.

AUTHORITY: GRS 2.5, Item 050 (DAA-GRS-2016-0007-0001)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-60

FILE TITLE: Phased Retirement Individual Case Files

FILE DESCRIPTION: Case files of individual employee participation in phased retirement, such as:

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



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

NOTE: Agencies may choose to file these records with the employee's retirement file, in which case the agency should retain them according to the retention period for the retirement file, per File Number 207-08 (GRS 2.5, item 020).

DISPOSITION: Temporary. Cut off when employee participation concludes or employee retires. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.5, item 051 (DAA-GRS-2016-0007-0002)

PRIVACY ACT: OPM/GOVT-1

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

FILE NUMBER: 202-62

FILE TITLE: Harassment Complaint Case Files

FILE DESCRIPTION: Records of complaints regarding unwelcome workplace conduct, filed in accordance with Agency policies and procedures. Includes:

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

NOTE: If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.

DISPOSITION: Temporary. Cut off after close of case. Destroy 7 years after cutoff.

AUTHORITY: GRS 2.3, item 050 (DAA-GRS-2018-0002-0005)

PRIVACY ACT: OPM/GOVT-1

FORMER FILE NUMBER(s): 202-43.4.2, 202-43.6, 202-43.8.1, 202-43.8.2

FILE NUMBER: 202-63

FILE TITLE: Continuous Evaluation System

FILE DESCRIPTION: Information collected on current DoD affiliated personnel in support of personnel security programs. Includes, but is not limited to:

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

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



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AUTHORITY: DAA-0330-2014-0013-0001

PRIVACY ACT: TBD

FILE NUMBER: 202-64

FILE TITLE: The National Security Education Program (NSEP) Scholar and Fellow Support System – Selected Applicants

FILE DESCRIPTION: Files pertaining to applicants selected under the NSEP Scholar and Fellow Support System, an online information system used to support the National Security Education Program per US Code 50, chapter 37 § 1906. Information collected from individuals via online application includes, but is not limited to, title, full name, current address, City, state, and zip code.

DISPOSITION: Temporary. Cut off after the completion of each recipients service contract. Destroy 30 years after cutoff.

AUTHORITY: N1-330-13-003, item 1a

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-65

FILE TITLE: The National Security Education Program (NSEP) Scholar and Fellow Support System – Non-Selected Applicants

FILE DESCRIPTION: Files pertaining to applicants not selected under the NSEP Scholar and Fellow Support System, an online information system used to support the National Security Education Program per US Code 50, chapter 37 § 1906. Information collected from individuals via online application includes, but is not limited to, title, full name, current address, City, state, and zip code.

DISPOSITION: Temporary. Cut off annually, after selection choices have been finalized. Destroy 5 years after cutoff or upon completion of GAO audit, whichever is sooner.

AUTHORITY: N1-330-13-003, item 1b

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-66

FILE TITLE: Incentive Awards Board (IAB) Records

FILE DESCRIPTION: Awards reviewed and approved for nominations received by the Office of the Secretary of Defense Incentive Awards Board (IAB), including the

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

Files may contain administrative correspondence such as forms and other records which pertain to recommendations, submissions, processing, evaluations, review actions, votes cast by IAB members, approval, disapproval, issuance of award, reports and other relevant documents to the application or decision.

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

AUTHORITY: DAA-0330-2016-0010-0001

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-67

FILE TITLE: Secretary of Defense Awards (Non-Competitive/Competitive)

FILE DESCRIPTION: Award packages authorized, approved and maintained on behalf of the Secretary of Defense by the OSD Components. Includes, but is not limited to:



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

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

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

AUTHORITY: DAA-0330-2016-0010-0002

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-68

FILE TITLE: Department of Defense Awards Tracking

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

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

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

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

AUTHORITY: DAA-0330-2016-0010-0003

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-69

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

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

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

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

AUTHORITY: DAA-0330-2016-0010-0004

PRIVACY ACT: Not Applicable



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FILE NUMBER: 202-70

FILE TITLE: Awards issued under the authority of Heads of OSD Components, Defense Agencies and Field Activities

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

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

Files may contain administrative correspondence of awards nominations, reports, memoranda, and recommendations approving or disapproving each award and other documents pertaining to each specific award.

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

AUTHORITY: DAA-0330-2016-0010-0005

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-71

FILE TITLE: Special Hiring Authority Program Records

FILE DESCRIPTION: Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.

DISPOSITION: Temporary. Cut off after hiring authority closes. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.1, item 120 (DAA-GRS-2014-0002-0016)

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-72

FILE TITLE: Individual Employees Hired under Temporary Special Authority

FILE DESCRIPTION: Records related to individual employees hired under special temporary authority. Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.

DISPOSITION: Temporary. Cut off after employee is converted to a permanent position or leaves a program. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.1, item 130 (DAA-GRS-2014-0002-00017)

PRIVACY ACT: OPM/GOVT-1



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FILE NUMBER: 202-73

FILE TITLE: Adverse Impact Files – No Adverse Impact Found

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

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

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.1, item 170 (DAA-GRS-2018-0008-0001)

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-74

FILE TITLE: Adverse Impact Files – Adverse Impact Found

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

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

DISPOSITION: Temporary. Cut off after elimination of the adverse impact. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.1, item 171 (DAA-GRS-2018-0008-0002)

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-75

FILE TITLE: Recruitment Records

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

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

EXCLUSION 1: Military recruitment advertising records must be scheduled by military establishments.

EXCLUSION 2: Recruitment posters must be scheduled by WHS/ESD/RPDD.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.1, item 180 (DAA-GRS-2018-0008-0003)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-76

FILE TITLE: Dislocated Worker Program Case Files

FILE DESCRIPTION: Includes applications, registrations, supporting documentation.

DISPOSITION: Temporary. Cut off when employee eligibility expires. Destroy 1 year after cutoff.



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AUTHORITY: GRS 2.3, item 030 (DAA-GRS-2018-0002-0003)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-77

FILE TITLE: Administrative Grievance, Disciplinary, Performance-based, and Adverse Action Case Files

FILE DESCRIPTION: Case files pertaining to administrative grievances, performance-based issues, disciplinary actions, and adverse actions. Includes:

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

NOTE: Letter of reprimand filed in an employee's Official Personnel File is covered under 202-12.3.

DISPOSITION: Temporary. Cut off after case is closed or final settlement on appeal, as appropriate. Destroy 7 years after cutoff.

AUTHORITY: GRS 2.3, item 060 (DAA-GRS-2018-0002-0006)

PRIVACY ACT: OPM/GOVT-3

FORMER FILE NUMBER(s): 202-49.1, 202-49.2, 202-49.2.1, 202-49.2.2. 202-49.3

FILE NUMBER: 202-78

FILE TITLE: Merit Systems Protection Board (MSPB) Case Files

FILE DESCRIPTION: Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. May include:

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

DISPOSITION: Temporary. Cut off after final resolution of case. Destroy 3 years after cutoff.

AUTHORITY: GRS 3.1, item 080 (DAA-GRS-2018-0002-0009)

PRIVACY ACT: OPM/GOVT-1



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FILE NUMBER: 202-79

FILE TITLE: Federal Labor Relations Authority (FLRA) Case Files

FILE DESCRIPTION: Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include:

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

DISPOSITION: Temporary. Cut off after final resolution of the case. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.3, item 100 (DAA-GRS-2018-0002-0011)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-80

FILE TITLE: General Ethics Program Records

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

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



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NOTE: See 403 for other Ethics File Numbers.

DISPOSITION: Temporary. Cut off upon the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later. Destroy 6 years after cutoff.

AUTHORITY: GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)

PRIVACY ACT: DGC16

FILE NUMBER: 202-81

FILE TITLE: Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files

FILE DESCRIPTION: Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, Notification of Conflict of Interest Referral.

DISPOSITION: Temporary. Cut off after final disposition of referral to either Department of Justice or to the Inspector General (IG). Destroy 6 years after cutoff.

AUTHORITY: GRS 2.8, item 020 (DAA-GRS-2014-0005-0002)

PRIVACY ACT: DGC16

FILE NUMBER: 202-82

FILE TITLE: Political Appointment (Schedule C Records) – Appointees

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

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

NOTE: Ethic pledges and waivers of appointees must be filed in the appointee's Official Personnel File (OPF) or electronic OPF (eOPF), per Executive Order 13490.

EXCLUSION: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item (Use 212-03 for these items).

DISPOSITION: Temporary. Cut off and destroy at the end of the presidential administration during which the individual is hired, or at separation, whichever best meets business use needs.

AUTHORITY: GRS 2.1, item 100 (DAA-GRS-2014-0002-0014)

PRIVACY ACT: DATSD 03 and DGC 16

FORMER FILE NUMBER(s): 406

FILE NUMBER: 202-83

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



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

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

DISPOSITION: Temporary. Cut off after consideration of the candidate ends. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.1, item 102 (DAA-GRS-2014-0002-0015)

PRIVACY ACT: DATSD 03 and DGC 16

FILE NUMBER: 202-84

FILE TITLE: Pre-Appointment Files – Security Clearance and Sensitive Positions

FILE DESCRIPTION: Records created when vetting a prospective employee between the time a job offer is accepted and the time when employee enters on duty where the records is documenting background investigation or vetting to determine eligibility for security clearance and sensitive positions. This includes forms in the SF-85 family, finger print charts, and related correspondence.

DISPOSITION: Temporary. Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.

AUTHORITY: GRS 2.1, item 140

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-85

FILE TITLE: Pre-Appointment Files – Appropriate for Inclusion in the OPF (for employees who enter on duty)

FILE DESCRIPTION: Records created when vetting a prospective employee between the time a job offer is accepted and the time when employee enters on duty that are appropriate for inclusion in the Official Personnel File (OPF), such as designation of beneficiary, life insurance election, and health benefits registration pertaining to prospective employees who enter on duty, in cases where the prospective employee DOES enter on duty.

DISPOSITION: Temporary. Forward to appropriate human resources (HR) office to include in the OPF after employee enters on duty.

AUTHORITY: GRS 2.1, item 141

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-86

FILE TITLE: Pre-Appointment Files – Appropriate for Inclusion in the OPF (for employees who do not enter on duty)

FILE DESCRIPTION: Records created when vetting a prospective employee between the time a job offer is accepted and the time when employee enters on duty that are appropriate for inclusion in the Official Personnel File (OPF), such as designation of beneficiary, life insurance election, and health benefits



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registration pertaining to prospective employees who enter on duty, in cases where the prospective employee DOES NOT enter on duty.

DISPOSITION: Temporary. Cut off when prospective employee is no longer considered a candidate. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.1, item 142 (DAA-GRS-2014-0002-0009)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-87

FILE TITLE: Pre-Appointment Files – Job Vacancy Copies

FILE DESCRIPTION: Records created when vetting a prospective employee between the time a job offer is accepted and the time when employee enters on duty in which the records are copies of records included in the Job Vacancy case file (See 202-08.1 and 202-08.2 for file series concerning Job Vacancy Case Files).

DISPOSITION: Temporary. Cut off and destroy when prospective employee enters on duty, declines appointment, or is no longer a candidate.

AUTHORITY: GRS 2.1, item 143 (DAA-GRS-2014-0002-0010)

PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-88

FILE TITLE: Vaccination Attestation and Proof of Vaccination Records – Federal Employees and Contractors

FILE DESCRIPTION: Records attesting to an individual's current vaccination status and providing proof or certification of vaccination that are related to federal employees and contractors of the Agency collecting the records (see 202-89 for visitor attestation/proof of vaccination records).

DISPOSITION: Temporary. Cut off in the year collected. Destroy 3 years after cutoff. NOTE: If these records are filed within occupational health file records, use the disposition authority for occupational health files (202-26.2 through 202-26.4) instead.

AUTHORITY: GRS 2.7, item 063 (DAA-GRS-2021-0003-0001)

PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-89

FILE TITLE: Vaccination Attestation and Proof of Vaccination Records – Visitors

FILE DESCRIPTION: Records attesting to an individual's current vaccination status and providing proof or certification of vaccination that are related to visitors (even if federal employees of contractors from another Agency).

DISPOSITION: Temporary. Cut off in the month collected. Destroy 30 days after cutoff.

AUTHORITY: GRS 2.7, item 064 (DAA-GRS-2021-0003-0002)

PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-90

FILE TITLE: Symptom Screening and Testing Records – Federal Employees

FILE DESCRIPTION: Records related to screening and testing intended to detect a possible communicable or infectious disease, if collected from federal employees of the agency collecting the records. Includes:

- Symptom check/screening data
- Testing records/results

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



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AUTHORITY: GRS 2.7, item 065 (DAA-GRS-2021-0003-0003)

PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-91

FILE TITLE: Symptom Screening and Testing Records – Contractors and Visitors (including any Federal Employees who are visiting the Agency)

FILE DESCRIPTION: Records related to screening and testing intended to detect a possible communicable or infectious disease, if collected from visitors (including federal employees not affiliated with the agency collecting the records) or Contractors (whether affiliated with the Agency collecting records or not). Includes:

- Symptom check/screening data
- Testing records/results

DISPOSITION: Temporary. Cut off in the month collected. Destroy 30 days after cutoff.

AUTHORITY: GRS 2.7, item 066 (DAA-GRS-2021-0003-0004)

PRIVACY ACT: OPM/GOVT-10

RECORDS CATEGORY: 203

CATEGORY TITLE: Information Management Files

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

FILE NUMBER: 203-01

FILE TITLE: Records Management Program Records

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

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

Records include:

- Agency records management program surveys or evaluations
- Reports of surveys or evaluations
- Reports of corrective action taken in response to agency program surveys or evaluations
- Disposal authorizations, schedules, and reports
- Records schedules, legacy records schedules (SF 115, ERA print-outs, Request for Records Disposition Authority, and related studies, coordination actions, archival appraisals, and approvals or disapprovals.)



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- SF 135, Records Transmittal and Receipt
- OF 11, Reference Request
- Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to NARA of the United States

DISPOSITION: Temporary. Cut off after the project, activity, or transaction is completed or superseded. Destroy 6 years after cutoff.

AUTHORITY: GRS 4.1, Item 020 (DAA-GRS-2013-0002-0007)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 101-05b, 203-01a, 203-01b, 203-02.1, 203-04, 203-05b, 203-08, 203-09a, 203-09b, 203-09b, 203-17

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

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

FILE NUMBER: 203-02.1 – Consolidated under 203-01

FILE NUMBER: 203-02

FILE TITLE: Access and Disclosure Request Files

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

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

Includes:

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

NOTE: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this File Number for disposition. MDR case files managed by the Records and Declassification Division are covered by 203-11.2.

NOTE: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.

DISPOSITION. Temporary. Cut off and destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later.

AUTHORITY: GRS 4.2, Item 020 DAA-GRS-2016-0002-0001

PRIVACY ACT: FOIA – DWHS E02; PA – DWHS E04; MDR – DWHS E05

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



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FILE NUMBER: 203-03

FILE TITLE: Access to Information Files – Procedures, Restrictions and Conditions

FILE DESCRIPTION: Documents on the formulation of DoD procedures, conditions, and restrictions on the release of information from files, release of copies, and the granting of access to records for official or unofficial research by the Offices responsible for formulating OSD concept. Included are case files with requests, basic interpretations, decisions precedents, studies, and related or similar papers.

DISPOSITION: Permanent. Cut off after close of case file. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 203-03a

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 203-03.1

FILE NUMBER: 203-03.1 – Consolidated into 203-03

FILE NUMBER: 203-03.2 – Consolidated into 203-02

FILE NUMBER: 203-04 – Consolidated into 203-01

FILE NUMBER: 203-05

FILE TITLE: Tracking and Control Records

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

- Indexes
- Lists
- Registers
- Inventories
- Logs

Exclusion 1: This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records.

Exclusion 2: This authority does not apply to tracking and control records related to records scheduled as permanent.

DISPOSITION: Temporary. Cut off and destroy when no longer needed. **NOTE:** for the OSD Records Administrator, no longer needed is defined as Keep hardcopy version of OSD offices' submissions until converted to electronic medium, then destroy. Purge database when no longer needed for reference.

AUTHORITY: GRS 4.1, item 010 (DAA-GRS-2013-0002-0007)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 203-05a, 206-08.2.1.3, 1601-10

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

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

FILE NUMBER: 203-06

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

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



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

DISPOSITION: Temporary. Cut off after erroneous release. Follow the disposition instructions approved for the released record copy or destroy 6 years after cutoff, whichever is later.

AUTHORITY: GRS 4.2, Item 060 (DAA-GRS-2015-0002-0001)

PRIVACY ACT: DWHS E04

FILE NUMBER: 203-07

FILE TITLE: Erroneous Release Files – Records filed Separately from the Recordkeeping Copy of the Released Records

FILE DESCRIPTION: Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy that do not include the recordkeeping copy of the released records. Includes:

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

DISPOSITION: Temporary. Cut off after erroneous release. Destroy 6 years after cutoff.

AUTHORITY: GRS 4.2, Item 061 (DAA-GRS-2015-0002-0002)

PRIVACY ACT: DWHS E04

FILE NUMBER: 203-08 – Consolidated into 203-01

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

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

FILE NUMBER: 203-09.1

FILE TITLE: DoD Components Breach Reports

FILE DESCRIPTION: Breach Reports document the unauthorized, unintentional or purposeful acquisition, access, use, or disclosure of protected information which compromises the security or privacy of such information. Reports include but are not limited to the DoD component, name of POC, and type of incident (equipment, email, hardcopy etc.) number of personnel affected, description of event/incident, incident category, component risk analysis and decisions made regarding notifications affected to individuals, other remedies, resolutions and analysis.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: DAA-0330-2013-0002-0001

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-09.2

FILE TITLE: Defense Privacy and Civil Liberties Breach Reports

FILE DESCRIPTION: Case Files consist of breach Reports submitted to the Defense Privacy and Civil Liberties Office (DPCLC) by DoD Components. Files may include, but are not limited to, component current and updated breach reports, documents on trend analysis, incident reporting and tracking, component risk analysis and decisions, and information related to individual notifications, other remedies, resolutions



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and analysis. The DPCLO is responsible for consolidating the breach reports for the Department of Defense.

DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.

AUTHORITY: DAA-0330-2013-0002-0002

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-09.3

FILE TITLE: OSD/Joint Staff (JS) Privacy Office Privacy Breach Case Files

FILE DESCRIPTION: Case files consist of reports submitted to the OSD/JS Privacy Office, by OSD Components, the Joint Staff, Defense Agencies and Field Activities. Files may include but are not limited to documents on trend analysis, incident reporting and tracking Incident category, component risk analysis and decisions.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: DAA-0330-2013-0002-0003

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-10.1

FILE TITLE: Privacy Act Accounting of Disclosure Files

Files maintained under the provision of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes:

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

DISPOSITION: Temporary. Cut off annually. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure that the accountability was made, whichever is later.

AUTHORITY: GRS 4.2, Item 050 (NC1-64-77-1 item 27)

PRIVACY ACT: DWHS E04

FORMER FILE NUMBER: 704-07

FILE NUMBER: 203-10.2

FILE TITLE: Privacy Act Amendment Request Files

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

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



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DISPOSITION: Temporary. Cut off and destroy with the records for which amendment was requested or 4 years after close of case (final determination by Agency or final adjudication, whichever applies), whichever is later.

AUTHORITY: GRS 4.2, Item 090 (DAA-GRS-2013-0007-0007)

PRIVACY ACT: DWHS E04

FORMER FILE NUMBER(s): 203-10.2.1, 203-10.2.2, 203-10.2.3, 704-06.1, 704-06.2, and 704-06.3

FILE NUMBER: 203-10.2.1 – Consolidated into 203-10.2

FILE NUMBER: 203-10.2.2 – Consolidated into 203-10.2

FILE NUMBER: 203-10.2.3 – Consolidated into 203-10.2

FILE NUMBER: 203-10.3 – Consolidated into 203-19

FILE NUMBER: 203-10.4 – Consolidated into 203-20

FILE NUMBER: 203-11

FILE TITLE: Declassification Program Management/Oversight Files

FILE DESCRIPTION: Documents and correspondence pertaining to managing the OSD declassification program. Correspondence pertaining to declassification from in and out of the Department of Defense. Includes declassification project program project files, reports to ISOO and other material related to the management of the program.

DISPOSITION: Temporary. Cut off annually after last entry or completion of project. Destroy 10 years after cutoff.

AUTHORITY: NC1-330-77-004, item 203-11

PRIVACY ACT: Not applicable

FILE NUMBER: 203-12 – RESCINDED

FILE NUMBER: 203-13.1

FILE TITLE: Automatic and Systematic Declassification Review Program Records

FILE DESCRIPTION: Files relating to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.

DISPOSITION: Temporary. Cut off upon completion of review. Destroy after conducting next review or when subject records are transferred to NARA.

AUTHORITY: GRS 4.2, Item 100 (DAA-GRS-2020-0002-0001)

PRIVACY ACT: Not applicable

FILE NUMBER: 203-13.2

FILE TITLE: Fundamental Classification Guidance Review Files

FILE DESCRIPTION: Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9.

DISPOSITION: Temporary. Cut off annually after report is submitted to NARA’s Information Security Oversight Office (ISOO). Destroy 5 years after cutoff.

AUTHORITY: GRS 4.2, item 110 (DAA-GRS-2013-0007-0011)



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PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 101-19

FILE NUMBER: 203-14.1

FILE TITLE: Vital Records Program Policy Files

FILE DESCRIPTION: Correspondence, directives, and policy (but not vital records inventories).

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA when 20 years old.

AUTHORITY: NC1-330-77-004, item 203-14

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 201-14a

FILE NUMBER: 203-14.2

FILE TITLE: Vital or Essential Records Program Records

FILE DESCRIPTION: Records involved in planning, operating, and managing the agency's vital or essential records program. Includes:

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

DISPOSITION: Temporary. Cut off after project, activity, or transaction is completed or superseded. Destroy 3 years after cutoff.

AUTHORITY: GRS 4.1, item 030 (DAA-GRS-2013-0002-0008)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 203-14b

FILE NUMBER: 203-14.3

FILE TITLE: Copies of Vital Records

FILE DESCRIPTION: Copies of agency records deemed essential to restore agency functions in case of emergency.

DISPOSITION: Temporary. Cut off and destroy when superseded by the next cycle.

AUTHORITY: GRS 4.1, item 031 (DAA-GRS-2013-0002-0015)

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-15 – RESCINDED

FILE NUMBER: 203-16 – RESCINDED

FILE NUMBER: 203-17 – Consolidated into 203-01

FILE NUMBER: 203-18

FILE TITLE: Health Insurance Portability and Accountability Act (HIPAA) Records

FILE DESCRIPTION: Records documenting authorizations, disclosures, access, complaints, amendments to, and control of protected health information, and HIPAA training and refresher training logs and training compliance reports including but not limited to:

- Authorizations from individuals for uses and disclosures of their protected health information, including disclosure reports maintained in the Protected Health Information Management Tool (PHIMT) electronic information system;



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

DISPOSITION: Temporary. Cut off (Close out) at end of the calendar year. Destroy 6 years after cutoff.

AUTHORITY: DAA-0330-2012-0005-0001

PRIVACY ACT: DWHS E04

FILE NUMBER: 203-19

FILE TITLE: Agency Reports to Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and Similar Access and Disclosure Programs

FILE DESCRIPTION: Recurring reports and one-time information requirements relating to Agency implementation, including annual reports to the Congress of the United States, OMB, and the Report on New Systems. Annual reports at Departmental or Agency level.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: GRS 4.2, Item 070 (DAA-GRS-2013-0007-0006)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 203-10.3, 704-02.4, 704-09

FILE NUMBER: 203-20

FILE TITLE: FOIA, Privacy Act, and Classified Documents Administrative Records

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

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

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 4.2, item 001 (DAA-GRS-2019-0001-0001)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 203-10.4, 209-01, 704-10

FILE NUMBER: 203-21

FILE TITLE: Accounting for and Controlling Access to Records Requested under FOIA, PA, and MDR



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FILE DESCRIPTION: Records documenting identity of, and internal routing, control points, accountability for information to which access has been requested. Includes:

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

DISPOSITION: Temporary. Cut off and destroy 5 years after date of last entry, final action by Agency as appropriate.

AUTHORITY: GRS 4.2, Item 040 (DAA-GRS-2019-0001-0003)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 209-05.1, 209-05.2, 704-08.1, 704-08.2

FILE NUMBER: 203-22

FILE TITLE: Virtual Public Access Reading Room Records

FILE DESCRIPTION: Records published by an Agency online to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying.

Includes:

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

Exclusion: This file number pertains only to copies of records an Agency publishes online for public reference. The agency record copy of such material may be of permanent value and the agency must schedule it.

NOTE: Not media neutral. Applies to electronic records only.

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

AUTHORITY: GRS 4.2, item 180 (DAA-GRS-2016-0008-0001)

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-23

FILE TITLE: Security Review Initial Files

FILE DESCRIPTION: Security review of information from within the Department of Defense or outside sources intended for dissemination through any media of public release to ensure that it is not inimical to national defense, or in conflict with established policies or programs. Records relate to staffing comments on approval or disapproval of material prepared for public release, including material establishing policies, standards, and criteria for clearance of material, excluding records intended for clearance.

DISPOSITION: Temporary. Cut off annually. Destroy 15 years after cutoff.



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AUTHORITY: NC1-330-79-008, item 704-01a

PRIVACY ACT: DWHS E03

FORMER FILE NUMBER: 704-01.1

FILE NUMBER: 203-24

FILE TITLE: Security Review – Cleared Files

FILE DESCRIPTION: Duplicate copies of cleared records.

DISPOSITION: Temporary. Cut off and destroy with the case files.

AUTHORITY: NC1-330-79-008, item 704-01b

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 704-01.2

FILE NUMBER: 203-25

FILE TITLE: Security Review Appeals Files – Clearance Without Amendment

FILE DESCRIPTION: Files consisting of the appellant's letter of appeal, a copy of the reply letter sent to the requester, and records that support the appellant decision, excluding the records subject to the appeal in cases where the files were cleared without amendment.

DISPOSITION: Temporary. Cut off on close of case. Destroy 2 years after clearance without amendment.

AUTHORITY: NC1-330-79-008, item 704-01

PRIVACY ACT: DWHS E03

FORMER FILE NUMBER: 704-01.3

FILE NUMBER: 203-26

FILE TITLE: Security Review Appeals Files – Clearance With Amendment or Denial

FILE DESCRIPTION: Files consisting of the appellant's letter of appeal, a copy of the reply letter sent to the requester, and records that support the appellant decision, excluding the records subject to the appeal in cases where the files were cleared but with amendment(s) or files were denied.

DISPOSITION: Temporary. Cut off on close of case. Destroy 6 years after record was cleared with amendment, or denied clearance.

AUTHORITY: NC1-330-79-008, item 704-01

PRIVACY ACT: DWHS E03

FORMER FILE NUMBER: 704-01.3

FILE NUMBER: 203-27

FILE TITLE: Security Review – Appealed File

FILE DESCRIPTION: Duplicate copies of appealed records.

DISPOSITION: Temporary. Cut off and destroy records with case files.

AUTHORITY: NC1-330-79-008, item 704-01

PRIVACY ACT: DWHS E03

FORMER FILE NUMBER: 704-01.4

FILE NUMBER: 203-28

FILE TITLE: Privacy Impact Assessments

FILE DESCRIPTION: Records of Privacy Impact Assessments (PIAs), which document whether certain privacy and data security laws, regulations, and Agency policies are required; how the Agency collects, uses, shared, and maintains Personally Identifiable Information (PII); and incorporation of privacy protections into record systems as required by the E-Government Act of 2002 (Public Law 107-347, section



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208), the Privacy Act of 1974 (5 USC 552a), and other applicable privacy laws, regulations and Agency policies. Includes significant background material documenting formulation of final products.

DISPOSITION: Temporary. Cut off after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public. Destroy 3 years after cutoff.

AUTHORITY: GRS 4.2, item 161 (DAA-GRS-2016-0003-0004)

PRIVACY ACT: DWHS E04

FILE NUMBER: 203-29

FILE TITLE: Privacy Act System of Records Notices (SORNs)

FILE DESCRIPTION: Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the Agency establishes or revises the system, per the Privacy Act of 1974 (5 USC 552a(e) (4) and 5 USC 552a(e) (11), as amended. Also includes significant material documenting SORN formulation, other than Privacy Impact Assessment (PIA) records (See File Number 203-26).

DISPOSITION: Temporary. Cut off after supersession by a revised SORN or after system ceases operation. Destroy 2 years after cutoff.

AUTHORITY: GRS 4.2, item 150 (DAA-GRS-2016-0003-0002)

PRIVACY ACT: Not applicable

FILE NUMBER: 203-30

FILE TITLE: Privacy Complaints Files

FILE DESCRIPTION: Records of privacy complaints (and responses) agencies receive in these categories:

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

DISPOSITION: Temporary. Cut off upon resolution or referral. Destroy 3 years after cutoff.

AUTHORITY: GRS 4.2, item 065 (DAA-GRS-2019-0001-0004)

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-31

FILE TITLE: Validation Records for Digitized Temporary Records

FILE DESCRIPTION: Records used to document (validate) that the digitized versions of temporary records are of suitable quality to replace original source records. Includes, but is not limited to:

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



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NOTE: This file number applies ONLY to temporary records (i.e., this does not apply to permanent records). The temporary records that were digitized must still be retained/dispositioned in accordance with the requirements specified in its applicable file number.

DISPOSITION: Temporary. Cut off and destroy the validation documentation when the temporary records digitized using that validation process are destroyed.

AUTHORITY: GRS 4.1, item 050 (DAA-GRS-2019-0003-0001)

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-32

FILE TITLE: Personally Identifiable Information (PII) Extracts

FILE DESCRIPTION: System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.

DISPOSITION: Temporary. Cut off when extracted. Destroy 90 days after cutoff.

AUTHORITY: GRS 4.2, item 130 (DAA-GRS-2013-0007-0012)

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-33

FILE TITLE: Controlled Unclassified Information (CUI) Program Implementation Records

FILE DESCRIPTION: Records of overall program management. Includes:

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

Exclusion 1: CUI directives and formal policy documents are covered under file number 103-01.1.

Exclusion 2: Records of CUI self-inspections are covered under file number 201-07.2 (GRS 5.7, item 020).

Exclusion 3: Records of annual program reports to the CUI Executive Agent are covered under file number 214-08 (GRS 5.7, item 050).

DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.

AUTHORITY: GRS 4.2, item 190 (DAA-GRS-2019-0001-0005)

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-34

FILE TITLE: Controlled Unclassified Information (CUI) Information Sharing Agreements

FILE DESCRIPTION: Agreements in which agencies agree to share CUI with non-executive branch entities (e.g., state and local police) and foreign entities that agree to protect the CUI.

DISPOSITION: Temporary. Cut off when agreement is superseded or terminated. Destroy 7 years after cutoff.

AUTHORITY: GRS 4.2, item 191 (DAA-GRS-2019-0001-0006)

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-35

FILE TITLE: Records of Waivers of Controlled Unclassified Information (CUI) Requirements



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FILE DESCRIPTION: Description of and rationale for each waiver, documentation of alternate steps the agency takes to ensure it sufficiently protects the CUI covered by the waiver, and records of the agency notifying authorized recipients and the public of the waiver.

DISPOSITION: Temporary. Cut off and destroy when waiver is rescinded, system is no longer in use, or all affected records are destroyed, as applicable.

AUTHORITY: GRS 4.2, item 192 (DAA-GRS-2019-0001-0007)

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-36

FILE TITLE: Records of Requests for Decontrol and Challenges to Controlled Unclassified Information (CUI) Designations

FILE DESCRIPTION: Requests to decontrol CUI or challenging a CUI marking as incorrect (either improperly assigned or lacking), responses to requests, records of adjudication, and records of dispute resolution if adjudication is appealed.

DISPOSITION: Temporary. Cut off after decision whether or not to change in CUI status. Destroy 7 years after cutoff.

NOTE: If these records are filed with the recordkeeping copy of the CUI marked records, then they should be retained and dispositioned in accordance with the disposition instructions for the CUI marked records.

AUTHORITY: GRS 4.2, item 194 (DAA-GRS-2019-0001-0008)

PRIVACY ACT: Not Applicable

FILE NUMBER: 203-37

FILE TITLE: Records of Controlled Unclassified Information (CUI) Misuse

FILE DESCRIPTION: Allegations of CUI misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions.

Exclusion: If the investigations is assigned to the DoD Inspector General (IG), the agency schedule for IG records covers the records created in the IG office.

DISPOSITION: Temporary. Cut off after completing the investigation or completing all corrective actions, whichever is later. Destroy 5 years after cutoff.

AUTHORITY: GRS 4.2, item 195 (DAA-GRS-2019-0001-0009)

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 204

CATEGORY TITLE: Space Management and Service Files

CATEGORY DESCRIPTION: Acquisition, allocation, and utilization of space and office services including related correspondence.

FILE NUMBER: 204-01

FILE TITLE: Facility, Space, Vehicle, Equipment, Stock, and Supply Administrative and Operational Records

FILE DESCRIPTION: Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes:

- Statistical and narrative reports
- Studies
- Request for space using Standard Form 81 or equivalent
- Space assignment and directories



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

DISPOSITION: Temporary. Cut off annually or when superseded (as appropriate). Destroy 3 years after cutoff.

AUTHORITY: GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 101-16, 101-17, 101-21, 201-16, 204-01a, 204-01b, 204-01c, 204-01d, 208-05.1, 208-05.2, 208-09.1, 208-09.2, 208-10.1, 208-10.2, 208-10.3, 208-15.1, 208-15.2, 208-15.3, 218-01, 218-04, 1201-09.5.1, 1201-09.5.2, 1201-15a, 1201-15b, 1201-15c, 1201-15d, 1201-15e, 1906-03, 1906-04.2, 1906-08, 1906-10, 1906-11, 1906-12, 1906-13a, 1906-13b, 1906-14, 1906-15, 1906-16, 1906-19, 1910-09, 1910-10, 1910-17, 1911-05, 1912-06, 1915-01, 1915-04.1, 1915-04.2, 1915-04.3

FILE NUMBER: 204-01a – Consolidated into 204-01

FILE NUMBER: 204-01b – Consolidated into 204-01

FILE NUMBER: 204-01c – Consolidated into 204-01

FILE NUMBER: 204-01d – Consolidated into 204-01

FILE NUMBER: 204-02

FILE TITLE: Duty Hours Coordination Files

FILE NUMBER: Documents on duty hours of principal DoD Components in the Pentagon; guard and custodial services, and related correspondence.

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.

AUTHORITY: NC1-330-77-004, item 204-02

PRIVACY ACT: Not applicable

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

FILE NUMBER: 204-03.1

FILE TITLE: Key and Card Access Accountability Records – Level V Facilities/Highest Level Security Awareness

FILE DESCRIPTION: Records accounting for keys and electronic access cards for areas requiring highest level security awareness, including areas designated by the Interagency Security Committee as Facility Security Level V.

DISPOSITION: Cut off after return of key. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.6, item 020 (DAA-GRS-2017-0006-0002)

PRIVACY ACT: Not Applicable

FILE NUMBER: 204-03.2

FILE TITLE: Key and Card Access Accountability Records – Level I-IV Facilities/All Other Security Awareness



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FILE DESCRIPTION: Records accounting for keys and electronic access cards for designated by the Interagency Security Committee as Facility Security Levels I through IV.

DISPOSITION: Cut off after return of key. Destroy 6 months after cutoff.

AUTHORITY: GRS 5.6, item 021 (DAA-GRS-2017-0006-0003)

PRIVACY ACT: Not Applicable

FILE NUMBER: 204-04

FILE TITLE: Facility Design, Engineering and Construction Operations Records

FILE DESCRIPTION: Records documenting operational support of facility design, engineering, and construction projects. Includes:

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

DISPOSITION: Temporary. Cut off after project completion or termination of assignment. Destroy 5 years after cutoff.

AUTHORITY: GRS 5.4, Item 060 (DAA-GRS-2016-0011-0007)

PRIVACY ACT: Not applicable

FILE NUMBER: 204-05

FILE TITLE: OSD Liaison Files

FILE DESCRIPTION: Documents on liaison with the GSA and other Federal Agencies on the subject of space management.

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.

AUTHORITY: NC1-330-77-004, item 204-05

PRIVACY ACT: Not applicable

FILE NUMBER: 204-06

FILE TITLE: Concession Operations Files

FILE DESCRIPTION: Documents on correspondence with various concessions operations. Leases and other agreements on use and operations.

DISPOSITION: Temporary. Cut off when new agreement reached or concessionaire relocates. Destroy 7 years after cutoff.

AUTHORITY: NC1-330-77-004, item 204-06

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 204-06, 211-03.2, 211-03.3

FILE NUMBER: 204-07.1

FILE TITLE: Property Pass Files

FILE DESCRIPTION: Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.



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DISPOSITION: Temporary. Cut off upon expiration or revocation. Destroy 3 months after cutoff.

AUTHORITY: GRS 5.6, item 040 (DAA-GRS-2017-0006-0005)

PRIVACY ACT: Not applicable

FILE NUMBER: 204-07.2

FILE TITLE: Personal Identification Credentials and Cards – Applications and Activation Records

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

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

NOTE 1: Agencies must offer any records created prior to January 1, 1939 to NARA before applying this disposition authority.

NOTE 2: Does not cover applications for access to Information systems (See 1600 series (GRS 3.2) for these types of records.

DISPOSITION: Temporary. Cut off at the end of an employee's or contractor's tenure. Destroy 6 years after cutoff.

AUTHORITY: GRS 5.6, item 120 (DAA-GRS-2021-0001-0005)

PRIVACY ACT: Not applicable

FILE NUMBER: 204-08.1

FILE TITLE: Facility, Space and Equipment Inspection, Maintenance, and Service Records Tracking Completion of Custodial and Minor Repair Work

FILE DESCRIPTION: Records documenting custodial and minor repair work, including inspections, maintenance, service, and repair activities related to buildings, grounds, Federally owned and operated housing, equipment, and personal property tracking completion of custodial and minor repair work, excluding fiscal copies (Use File Number 206-09.1 for fiscal copies). Includes:

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

NOTE: Agencies must offer any records created prior to January 1, 1939 to NARA before applying this disposition authority.

DISPOSITION: Temporary. Cut off after work performed or requisitions canceled. Destroy 3 months after cutoff.

AUTHORITY: GRS 5.4, item 071 (DAA-GRS-2014-0011-0009)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 204-08, 208-16, 1911-02, 1911-03, 1911-07, 1911-08, 1912-10



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FILE NUMBER: 204-08.2

FILE TITLE: Facility, Space and Equipment Inspection, Maintenance, and Service Records Tracking Completion of Facility Structure and Long-Term Maintenance

FILE DESCRIPTION: Records documenting facility structure and long-term maintenance work, including inspections, maintenance, service, and repair activities related to buildings, grounds, Federally owned and operated housing, equipment, and personal property tracking completion of custodial and minor repair work, excluding fiscal copies (Use File Number 206-09.1 for fiscal copies). Includes:

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

NOTE: Agencies must offer any records created prior to January 1, 1939 to NARA before applying this disposition authority.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.4, item 070 (DAA-GRS-2014-0011-0008)

PRIVACY ACT: Not applicable

FILE NUMBER: 204-09

FILE TITLE: Excess Personal Property, Equipment, and Vehicle Records

FILE DESCRIPTION: Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes:

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

Exclusion: Records documenting financial management of surplus property disposal by sale (Use File Number 206-09.1).

DISPOSITION: Temporary. Cut off Annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.4, item 040 (DAA-GRS-2014-0011-0004)

PRIVACY ACT: Not Applicable

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

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

FILE NUMBER: 204-10.1

FILE TITLE: Occupational Injury and Illness Program Records

FILE DESCRIPTION: Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations, excluding Workers' Compensation (personnel injury compensation) records (which are covered under File Number 202-44 Employee Compensation and Benefits Records). Includes:

- Miscellaneous reports, annual summaries or reports to the Secretary of Labor



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- Correspondence with internal Agency offices and Occupational Safety and Health Administration (OSHA)
- OSHA 300 Log
- OSHA 301 Incident Report
- OSHA 300A Summary or equivalent

DISPOSITION: Temporary. Cut off at the end of the calendar year; destroy 6 years after cut off.

AUTHORITY: GRS 2.7, item 020 (DAA-GRS-2017-0010-0002)

PRIVACY ACT: Not applicable

FILE NUMBER: 204-10.2

FILE TITLE: Safety Data Sheets

FILE DESCRIPTION: These forms contain descriptions, chemical analyses, and other data (toxicological and health reports, disposal instructions, emergency first aid instructions, handling precautions, etc.) on substances and agents that are potential health and safety hazards in the workplace. Includes other specified records concerning the identity of a substance or agent.

NOTE 1: These records were formerly called Material Safety Data Sheets (MSDS).

Exclusion: Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under File Number 202-26.2.

DISPOSITION: Temporary. Cut off and destroy when business use ceases. **NOTE 2:** Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if “some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.” Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained

AUTHORITY: GRS 2.7, item 050 (DAA-GRS-2017-0010-0008)

PRIVACY ACT: Not applicable

FILE NUMBER: 204-10.3

FILE TITLE: Workplace Environmental Monitoring and Exposure Records – OSHA-Regulated Substance Monitoring and Exposure Records

FILE DESCRIPTION: Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results. Area/general occupational exposure records, including asbestos and industrial hygiene inspection reports and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.

DISPOSITION: Temporary. Cut off after monitoring is conducted. Destroy 30 years after cut off

AUTHORITY: GRS 2.7, item 040 (DAA-GRS-2017-0010-0004)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 204-10.3.1, 204-10.3.2, 204-10.4

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

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

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



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FILE NUMBER: 204-10.5

FILE TITLE: Workplace Environmental Monitoring and Exposure Records – Occupational Noise Monitoring and Exposure Records

FILE DESCRIPTION: Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results for occupational noise monitoring and exposure records.

DISPOSITION: Temporary. Cut off after monitoring is conducted. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.7, item 041 (DAA-GRS-2017-0010-0005)

PRIVACY ACT: Not applicable

FILE NUMBER: 204-10.6

FILE TITLE: Workplace Environmental Monitoring and Exposure Records – Lead (Pb), Coke Oven Emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic Monitoring and Exposure Records

FILE DESCRIPTION: Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results for lead (Pb), coke oven emissions, dibromochloropropane (DBC), acrylonitrile, and inorganic arsenic monitoring and exposure records.

DISPOSITION: Temporary. Cut off after monitoring is conducted. Destroy 40 years after cutoff.

AUTHORITY: GRS 2.7, item 042 (DAA-GRS-2017-0010-0006)

PRIVACY ACT: Not applicable

FILE NUMBER: 204-11

FILE TITLE: Architectural Drawings Files

FILE DESCRIPTION: Architectural and Engineering as-built drawing files, preconstruction drawings, and specification documentation for major construction, renovation, repair and improvement projects on the Pentagon reservation and other facilities owned and operated by DoD. Includes material on the Bentley Project Wise Application. **NOTE:** These records document major renovations of the Pentagon, designs and construction documents of additional structures located on the Pentagon reservation, and other facilities owned and operated by the DoD.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff. Electronic records may be pre-acquisitioned in accordance with a NARA approved timetable.

AUTHORITY: N1-330-10-001, item 1

PRIVACY ACT: Not applicable

FILE NUMBER: 204-12

FILE TITLE: Facility Design, Engineering and Construction Records – Final and As-Built Drawings, Plans, and Designs; and all Other Records (Not Covered under File Number 204-13)

FILE DESCRIPTION: Architectural and engineering drawings and other design and construction records buildings or structures not critical to DoD mission, including office buildings, storage sheds, parking lots, maintenance shops and service structures. Includes:

- Site maps and surveys
- Plot plans
- Structural drawings
- Architectural renderings



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

NOTE: Use File number 204-11 for records associated with buildings deemed to be significant for historical, architectural, or technological reasons.

DISPOSITION: Temporary. Cut off and destroy when superseded or after the structure or object has been retired from service.

AUTHORITY: GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)

PRIVACY ACT: Not applicable

FILE NUMBER: 204-13

FILE TITLE: Facility Design, Engineering and Construction Records – Draft, Preliminary, Intermediate, Working, and Contract Negotiation Drawings

FILE DESCRIPTION: Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as built drawings.

DISPOSITION: Temporary. Cut off and destroy when the final working/as-built drawings have been produced.

AUTHORITY: GRS 5.4, item 050 (DAA-GRS-2016-0011-0005)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 1915-02

FILE NUMBER: 204-14

FILE TITLE: Unclaimed Personal Property Records – Over \$500

FILE DESCRIPTION: Records accounting for non-Government personally-owned property valued over \$500 that is lost, abandoned, unclaimed or believed stolen on premises owned or leased by the Federal Government. Includes:

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

DISPOSITION: Temporary. Cut off annually or after the date title to the property vests in the Government. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.6, item 060 (DAA-GRS-2017-0006-0007)

PRIVACY ACT: Not Specified



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FILE NUMBER: 204-15

FILE TITLE: Unclaimed Personal Property Records – \$500 or Less

FILE DESCRIPTION: Records accounting for non-Government personally-owned property valued \$500 or less that is lost, abandoned, unclaimed or believed stolen on premises owned or leased by the Federal Government. Includes:

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

DISPOSITION: Temporary. Cut off annually or after the property is found, whichever is earlier. Destroy 30 days after cutoff.

AUTHORITY: GRS 5.6, item 061 (DAA-GRS-2017-0006-0008)

PRIVACY ACT: Not Specified

FILE NUMBER: 204-16

FILE TITLE: Interagency Security Assessment Records

FILE DESCRIPTION: Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes:

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

DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.

AUTHORITY: GRS 5.6, item 070 (GRS-DAA-2017-0006-0009)

PRIVACY ACT: Not Applicable

FILE NUMBER: 204-17

FILE TITLE: Facility Security Assessment Records – Areas Requiring Highest Level Security Awareness

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

- Facility notes
- Inspector notes and reports
- Vulnerability assessments

DISPOSITION: Temporary. Cut off after updating the security assessment or terminating the security awareness status, whichever is sooner. Destroy 5 years after cutoff.

AUTHORITY: GRS 5.6, item 080 (DAA-GRS-2017-0006-0010)

PRIVACY ACT: Not Applicable

FILE NUMBER: 204-18

FILE TITLE: Facility Security Assessment Records – All Other Areas

FILE DESCRIPTION: Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies for all other areas other



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than those requiring highest level security awareness (Areas designated by the Interagency Security Committee as Facility Security Level I-IV). Includes:

- Facility notes
- Inspector notes and reports
- Vulnerability assessments

DISPOSITION: Temporary. Cut off after updating the security assessment or terminating the security awareness status, whichever is sooner. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.6, item 081 (DAA-GRS-2017-0006-0011)

PRIVACY ACT: Not Applicable

FILE NUMBER: 204-19

FILE TITLE: Sensitive Compartmented Information Facility (SCIF) Accreditation Records

FILE DESCRIPTION: Physical security plans for SCIF construction, expansion, or modification. Includes:

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

DISPOSITION: Temporary. Cut off and destroy when SCIF receives final accreditation.

AUTHORITY: GRS 5.6, item 140 (DAA-GRS-2017-0006-0019)

PRIVACY ACT: Not Applicable

FILE NUMBER: 204-20

FILE TITLE: Sensitive Compartmented Information Facility (SCIF) Inspection Records

FILE DESCRIPTION: Inspection records required by Intelligence Community Directive (ICD) 705. Includes:

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

DISPOSITION: Temporary. Cut off after completion of inspection. Destroy 5 years after cutoff or 1 year after de-accreditation of the facility, whichever is sooner.

AUTHORITY: GRS 5.6, item 150 (DAA-GRS-2017-0006-0020)

PRIVACY ACT: Not Applicable

FILE NUMBER: 204-21

FILE TITLE: Accident and Incident Records

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

Includes:

- Statements of witnesses



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- Warning notices
- Records about arrests, commitments, and traffic violations
- Accident and incident reports
- Law enforcement agency requests for information

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

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

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

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

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

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

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 205

CATEGORY TITLE: Historical Files

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

FILE NUMBER: 205-01

FILE TITLE: Historical Records and Reports File

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

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

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

PRIVACY ACT: Not applicable

FILE NUMBER: 205-02

FILE TITLE: Historical Research and Reference Files

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

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

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

PRIVACY ACT: Not applicable

RECORDS CATEGORY: 206

CATEGORY TITLE: Budget and Finance

CATEGORY DESCRIPTION: Budget and apportionment records accumulated in an Agency in the course of formulating its budget for submission to the OMB and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill; and ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the Agency by the OMB, usually in quarterly portions. The Agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the OSD, its own controls



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over the funds are in its expenditure accounting records, and detailed information relative to expenditures is contained in the accountable officer's account.

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

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

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

FILE NUMBER: 206-02

FILE TITLE: Budget Preparation Background Records

FILE DESCRIPTION: Preliminary budget estimates, justifications, cost statements, narrative statements, rough data and similar materials accumulated in the office responsible for preparing the Agency's budget proposal to the White House.

DISPOSITION: Temporary. Cut off at the close of the fiscal year to which the records relate. Destroy 2 years after cutoff.

AUTHORITY: GRS 1.3, item 040 (DAA-GRS-2015-0006-0005)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 206-02, 206-04.2, 206-05.3

FILE NUMBER: 206-03

FILE TITLE: Budget Administrations Records

FILE DESCRIPTION: Records documenting administration of budget office responsibilities. Includes:

- Correspondence relating to routine administration, internal procedures, and other day-to-day matters
- Records monitoring expenditures under approved budget allocations
- Records of financial controls maintenance
- Spreadsheets and databases tracking income, expenditures, and trends
- Work planning documentation
- Cost structure and accounting code lists
- Feeder and statistical reports
- Related correspondence

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 1.3, item 050 (DAA-GRS-2015-0006-0007)



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PRIVACY ACT: Not applicable

FILE NUMBER: 206-04.1

FILE TITLE: Budget Estimates and Justification Files – Prior to 2017

FILE DESCRIPTION: Copies of budget estimates and justifications prepared or consolidated for the OSD and offices under the WHS for administrative support. Included are appropriation language sheets, narrative statements, and related schedules and data. **NOTE:** Use 206-04.3 for budgets formulated FY 2017 and forward.

DISPOSITION: Permanent. Cut off at the end of the fiscal year. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-004, item 206-04

PRIVACY ACT: Not applicable

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

FILE NUMBER: 206-04.3

FILE TITLE: Budget Formulation, Estimates, Justification, and Submission Records – Fiscal Year 2017 and Forward

FILE DESCRIPTION: Includes records such as:

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

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 6 years after cutoff.

AUTHORITY: GRS 1.3, item 010 (DAA-GRS-2015-0006-0001)

PRIVACY ACT: Not applicable

FILE NUMBER: 206-05.1

FILE TITLE: Budget Reports – Full Fiscal Year Reports

FILE DESCRIPTION: Full fiscal year reports using Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent annual report (end of fiscal year) on the status of expenditures, appropriations, obligations, apportionments and outlays.

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.

AUTHORITY: GRS 1.3, item 030 (DAA-GRS-2015-0006-0003)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 502-01.4

FILE NUMBER: 206-05.2

FILE TITLE: Budget Reports – All Other Reports

FILE DESCRIPTION: Periodic status reports (other than the annual report) on the Agency’s proposed rate of expenditures, appropriations, obligations, apportionments and outlays.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 2 years after cutoff.



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AUTHORITY: GRS 1.3, item 031 (DAA-GRS-2015-0006-0004)

PRIVACY ACT: Not applicable

FILE NUMBER: 206-05.3 – Consolidated into 206-02

FILE NUMBER: 206-06

FILE TITLE: Financial Reports

FILE DESCRIPTION: Financial reports, recurring and one-time, on financial management.

DISPOSITION: Permanent. Cut off at the end of the fiscal year; transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 206-06a

PRIVACY ACT: Not applicable

FILE NUMBER: 206-07

FILE TITLE: Budget Execution Records

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

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

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 6 years after cutoff.

AUTHORITY: GRS 1.3, item 020 (DAA-GRS-2015-0007-0002)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 206-07, 303-04.2

FILE NUMBER: 206-08.2.1.1 – Consolidated into 206-09.1

FILE NUMBER: 206-08.2.1.2 – Consolidated into 206-13

FILE NUMBER: 206-08.2.1.3 – Consolidated into 203-05

FILE NUMBER: 206-08.2.1.4 – Consolidated into 203-09.1

FILE NUMBER: 206-08.1

FILE TITLE: Lost, Destroyed or Damaged Shipment Records

FILE DESCRIPTION: Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement.



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DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff.

AUTHORITY: GRS 5.5, item 040 (DAA-GRS-2016-0012-0004)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 206-08.2.2

FILE NUMBER: 206-08.2.3.1 – Consolidated into 206-09.1

FILE NUMBER: 206-08.2.3.2 – Consolidated into 206-09.2

FILE NUMBER: 206-08.2.3.3 – Consolidated into 206-09.1

FILE NUMBER: 206-08.2.4.1 – Consolidated into 206-09.1

FILE NUMBER: 206-08.2.4.2 – Consolidated into 206-09.2

FILE NUMBER: 206-08.2.5.1 – Consolidated into 206-13

FILE NUMBER: 206-08.2.5.2 – Consolidated into 102-10

FILE NUMBER: 206-08.2

FILE TITLE: Transportation Subsidy Program Administrative Records

FILE DESCRIPTION: Records relating to managing the program, including:

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

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.4, item 130 (DAA-GRS-2016-0015-0017)

PRIVACY ACT: DWHS D01

FILE NUMBER: 206-08.3

FILE TITLE: Transportation Subsidy Program Individual Case Files

FILE DESCRIPTION: Case files of individual employee participation in transportation subsidy programs, such as:

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

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

DISPOSITION: Temporary. Cut off after employee participation concludes. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.4, item 131 (DAA-GRS-2016-0015-0018)

PRIVACY ACT: DWHS D01



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FILE NUMBER: 206-09.1

FILE TITLE: Financial Transaction Records related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting

DESCRIPTION: Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions. Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government.

Paying bills means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:

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

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

- Records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:
 - Cash register transaction records
 - Credit card and charge cards receipts
 - Records documenting deposits
 - Records documenting allocation of fees to funds/accounts



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- Deposit lists and logs
- Customer orders
- Revolving fund records
- Fee and fine collection records
- Garnishments
- Sale of excess and surplus personal property
- Fee or rate schedules and supporting documentation
- Out-leases of Federal property
- Debt collection files and cash receipts
- Write-offs
- Copies of checks
- Payment billing coupons
- Letters from lenders
- Payment records
- Money orders
- Journal vouchers
- Collection schedules

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

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

NOTE 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.

NOTE 2: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.



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NOTE 3: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.

NOTE 4: Agencies must offer any records created prior to January 1, 1933, to NARA before applying this disposition authority.

DISPOSITION: Temporary. Cut off after final payment or cancellation. Destroy 10 years after cutoff.

AUTHORITY: GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 101-20, 202-11, 204-09.1, 204-09.2, 206-08.2.1.1, 206-08.2.1.4, 206-08.2.3.1, 206-08.2.3.3, 206-08.2.4.1, 206-09.1, 206-11.1, 206-11.2, 206-12, 206-15, 206-17, 206-18, 206-19.1, 206-19.2, 208-04.1.1, 208-04.1.2, 208-06.1, 208-07.1, 208-07.2, 208-08, 208-11, 208-13, 208-14.3.1, 208-14.3.2, 211-04, 803-01.2, 1201-09.4.1.1, 1201-09.4.1.2, 1201-09.6a, 1201-09.6c, 1201-09.6d, 1201-10.1, 1201-10.2, 1201-11.3.1, 1201-11.3.2, 1202-10, 1906-17a, 1906-21, 1906-22, 1906-23, 1913-01

FILE NUMBER: 206-09.2

FILE TITLE: Financial Transaction Files related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting – All Other Copies

FILE DESCRIPTION: Memorandum, Obligation and all other copies of financial transaction files related to procuring goods and services, paying bills, collecting debts, and accounting, used for administrative or reference purposes, not covered elsewhere in this schedule.

NOTE 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.

NOTE 2: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.

NOTE 3: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.

NOTE 4: Agencies must offer any records created prior to January 1, 1933, to NARA before applying this disposition authority.

DISPOSITION: Temporary. Cut off and destroy when business use ceases.

AUTHORITY: GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 206-08.2.3.2, 206-08.2.4.2, 206-09.2, 208-04.3, 1201-09.4.3, 1201-09.6b

FILE NUMBER: 206-09.3

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

FILE DESCRIPTION: Includes records such as:

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



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DISPOSITION: Temporary. Cut off in the fiscal year of completion of audit or closure of financial statement / accounting treatment / issue. Destroy 2 years after cutoff.

AUTHORITY: GRS 1.1, item 020 (DAA-GRS-2013-0003-0011)

PRIVACY ACT: Not applicable

FILE NUMBER: 206-09.4

FILE TITLE: Contract Appeals Case Files

FILE DESCRIPTION: Records of contract appeals arising under the Contracts Disputes Act. Includes:

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

DISPOSITION: Temporary. Cut off upon final resolution. Destroy 1 year after cutoff.

AUTHORITY: GRS 1.1, item 060 (DAA-GRS-2016-0001-0003)

PRIVACY ACT: Not applicable

FILE NUMBER: 206-09.5

FILE TITLE: Records of Credit Card Abuse and Postal Irregularities

FILE DESCRIPTION: Records about irregularities in handling mail and improper use or misuse of telephone calling cards and Government charge or purchase cards. Includes:

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

DISPOSITION: Temporary. Cut off upon completion of investigation or annually, whichever is later. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.6, item 050 (DAA-GRS-2017-0006-0006)

PRIVACY ACT: Not Applicable

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

FILE NUMBER: 206-11

FILE TITLE: Family Medical Leave Act Program Individual Case Files

FILE DESCRIPTION: Includes records such as:

- Employee eligibility to participate in program
- Eligibility notice given to employee
- Notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them
- Medical certifications
- Employee identification data



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- Records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid
- Leave request, approval/non-approval
- Leave records
- Records of premium payments of employee benefits
- Records of disputes between employers and eligible employees regarding designation of leave as FMLA leave
- Periodic reports of employee status and intent to return to work

DISPOSITION: Temporary. Cut off after conclusion of leave. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.4, item 141 (DAA-GRS-2016-0015-0020)

PRIVACY ACT: Not applicable

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

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

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

FILE NUMBER: 206-13

FILE TITLE: Financial Management and Reporting Administrative Records

FILE DESCRIPTION: Records related to managing financial activities and reporting. Records include:

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

DISPOSITION: Temporary. Cut off fiscally. Destroy 3 years after cutoff.

AUTHORITY: GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 206-08.2.1.2, 206-08.2.5.1, 206-13.1, 206-13.2, 206-16, 208-03, 1201-09.3

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

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

FILE NUMBER: 206-14

FILE TITLE: Family Medical Leave Act Program Administrative Records

FILE DESCRIPTION: Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation.

DISPOSITION: Temporary. Cut off when superseded or obsolete. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.4, item 140 (DAA-GRS-2016-0015-0019)

PRIVACY ACT: Not Applicable

FILE NUMBER: 206-14.1.1 – RESCINDED (per GRS Transmittal 23)

FILE NUMBER: 206-14.1.2 – RESCINDED (per GRS Transmittal 23)

FILE NUMBER: 206-14.1.3 – RESCINDED (per GRS Transmittal 23)

FILE NUMBER: 206-15 – Consolidated into 206-09.1

FILE NUMBER: 206-16 – Consolidated into 206-13



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FILE NUMBER: 206-17 – Consolidated into 206-09.1

FILE NUMBER: 206-18 – Consolidated into 206-09.1

FILE NUMBER: 206-19

FILE TITLE: Administrative Claims by or against the United States

FILE DESCRIPTION: Records of monetary or property *by* the United States subject to the Federal Claims Collection Standards, completed or closed by:

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

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

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

DISPOSITION: Temporary. Cut off upon final action. Destroy 7 years after cutoff.

AUTHORITY: GRS 1.1, Item 080 (DAA-GRS-2017-0005-0001)

PRIVACY ACT: Not applicable

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

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

FILE NUMBER: 206-20

FILE TITLE: Grant and Cooperative Agreement Program Management Records

FILE DESCRIPTION: Records related to the coordination, implementation, execution, monitoring and completion of grant and cooperative agreement programs, such as:

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

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

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

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

PRIVACY ACT: Not Applicable



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

FILE NUMBER: 206-21

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

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

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

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

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

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

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

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

PRIVACY ACT: Not Applicable

FILE NUMBER: 206-22

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

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

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

DISPOSITION: Temporary. Cut off upon final action. Destroy 3 years after cutoff.

AUTHORITY: GRS 1.2, item 021 (DAA-GRS-2013-0008-0006)

PRIVACY ACT: Not Applicable



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FILE NUMBER: 206-23

FILE TITLE: Grant and Cooperative Agreement Case Files – All Other Copies

FILE DESCRIPTION: Copies of official records of grants and cooperative agreement applicant case files used for administrative purposes. Records include copies of:

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

DISPOSITION: Temporary. Cut off and destroy when business use ceases.

AUTHORITY: GRS 1.2, item 022 (DAA-GRS-2013-0008-0002)

PRIVACY ACT: Not Applicable

FILE NUMBER: 206-24

FILE TITLE: Final Grant and Cooperative Agreement Final Products or Deliverables

FILE DESCRIPTION: The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a

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

NOTE 1: Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.

NOTE 2: If the final product or deliverable of a grant or cooperative agreement warrants permanent retention, contact RPDD to submit a records schedule to NARA.

DISPOSITION: Temporary. Cut off and destroy when business use ceases.

AUTHORITY: GRS 1.2, item 022 (DAA-GRS-2013-0008-0003)

PRIVACY ACT: Not Applicable

FILE NUMBER: 206-25

FILE TITLE: Government Purchase Card and Travel Credit Card Application and Approval Records

FILE DESCRIPTION: Applications by employees for Government credit cards issued in card-holder's name, whether for official travel expenses or for purchasing goods and services. May include:



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

DISPOSITION: Temporary. Cut off and destroy upon card holder separation or when card is returned to office and destroyed.

AUTHORITY: GRS 1.1, item 090 (DAA-GRS-2018-0003-0001)

PRIVACY ACT: Not Applicable

FILE NUMBER: 206-26

FILE TITLE: Small and Disadvantaged Business Utilization Records

FILE DESCRIPTION: Records maintained by offices of Small Business Programs established pursuant to the Small Business Act (15 U.S.C. 644(k), as supplemented). Includes:

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

NOTE: This does not negate the use of 1201-04.1 or 1201-04.2 for OUSD(A&S).

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 1.1, item 100 (DAA-GRS-2018-0003-0002)

PRIVACY ACT: Not Applicable



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RECORDS CATEGORY: 207

CATEGORY TITLE: Pay Files

CATEGORY DESCRIPTION: Documents related to on payroll/pay.

FILE NUMBER: 207-01

FILE TITLE: Agency Payroll Record for Each Pay Period

FILE DESCRIPTION: Aggregate records documenting payroll disbursed in each pay period: Base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity. (**Legal citation:** 5 U.S.C. 8466)

DISPOSITION: Temporary. Cut off annually. Destroy 56 years after cutoff.

AUTHORITY: GRS 2.4, Item 040 (DAA-GRS-2016-0015-0004)

PRIVACY ACT: Not applicable

FILE NUMBER: 207-02

FILE TITLE: Payroll Program Administrative Records – Correspondence Files

FILE DESCRIPTION: Administrative correspondence between agency and payroll processor and system reports used for Agency workload and/or personnel management purposes which are produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: GRS 2.4, Item 060 (DAA-GRS-2016-0015-0006)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 207-02, 207-17.1, 207-17.2

FILE NUMBER: 207-03

FILE TITLE: Time and Attendance Records

FILE DESCRIPTION: Sign-in/sign-out records, time cards (OF 1130); leave applications and approvals for all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.4, Item 030 (DAA-GRS-2019-0004-0002)

PRIVACY ACT: OPM/GOVT-1

FORMER FILE NUMBER(s): 207-03.1, 207-03.2, 207-08.1, 207-08.2

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

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

FILE NUMBER: 207-04

FILE TITLE: Individual Authorization Card and Payroll Allotments – Record Maintained on Earning Card

FILE DESCRIPTION: Individual Authorization Card and Payroll Allotments (such as SF 1192) where record of bond deductions is maintained on earning record card.

DISPOSITION: Temporary. Cut off and destroy when superseded or after separation of employee. If employee transfers within an Agency, these authorizations must also be transferred. Treasury Fiscal Requirement Manual, paragraph 6020.20e for instructions relating to savings bond authorizations, and



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FPM Chapter 550, Subchapter 3, Part 8, for instructions on the Combined Federal Campaign authorizations.

AUTHORITY: NC1-330-77-004, item 207-04a

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 207-04.1

FILE NUMBER: 207-04.2 – RESCINDED

FILE NUMBER: 207-05 – RESCINDED

FILE NUMBER: 207-06 – RESCINDED

FILE NUMBER: 207-07 – RESCINDED

FILE NUMBER: 207-08.1 – Consolidated into 207-03

FILE NUMBER: 207-08.2 – Consolidated into 207-03

FILE NUMBER: 207-08

FILE TITLE: Individual Employee Separation Case Files

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

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

DISPOSITION: Temporary. Cut off upon employee separation or transfer. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.5, item 020 (DAA-GRS-0330-2014-0004-0003)

PRIVACY ACT: TBD

FORMER FILE NUMBER(s): 207-09.2

FILE NUMBER: 207-09.1 – RESCINDED (per GRS Transmittal 23)

FILE NUMBER: 207-09.2 – Moved to 207-08



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FILE NUMBER: 207-09

FILE TITLE: Donated Leave Program Administrative Records

FILE DESCRIPTION: Records related to managing the program, including:

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

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.4, Item 070 (DAA-GRS-2016-0015-0008)

PRIVACY ACT: Not Applicable

FILE NUMBER: 207-10

FILE TITLE: Donated Leave Program Individual Case Files

FILE DESCRIPTION: Records documenting leave donation and receipt, including recipient applications, agency approvals or denials, medical or physician certifications, and records of leave donations, supervisor/timekeeper approvals, leave transfers, payroll notifications, and terminations from the program.

DISPOSITION: Temporary. Cut off upon close of case file (when employee is no longer participating in the program). Destroy 1 year after cutoff.

AUTHORITY: GRS 2.4, Item 071 (DAA-GRS-2016-0015-0009)

PRIVACY ACT: Not applicable

FILE NUMBER: 207-11

FILE TITLE: Personnel Actions - Pay or fiscal copy

FILE DESCRIPTION: Pay or fiscal copy of notifications of personnel action, exclusive of those in Official Personnel File (OPF).

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit of related pay records by the GAO, whichever is earlier.

AUTHORITY: NC1-330-77-004, item 207-11a

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 207-11.1

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

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

FILE NUMBER: 207-12

FILE TITLE: Budget Authorizations File Copies

FILE DESCRIPTION: Copies of budget authorizations to operating units that control personnel ceilings and personnel actions.

DISPOSITION: Temporary. Cut off and destroy when superseded.

AUTHORITY: NC1-330-77-004, item 207-12

PRIVACY ACT: Not applicable



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FILE NUMBER: 207-13.1

FILE TITLE: Memorandum copies of payrolls, check lists, and related certification sheets (such as SFs 1013, 1128, or equivalents) – Security Copies

FILE DESCRIPTION: Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers.

DISPOSITION: Temporary. Cut off and destroy after second subsequent payroll or check list covering same payroll unit.

AUTHORITY: NC1-330-77-004, item 207-13a

PRIVACY ACT: Not applicable

FILE NUMBER: 207-13.2

FILE TITLE: Memorandum copies of payrolls, check lists, and related certification sheets (such as SFs 1013, 1128, or equivalents) – Other: Earning Record Maintained

FILE DESCRIPTION: All other copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers where earning record is maintained.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit by GAO, whichever is earlier.

AUTHORITY: NC1-330-77-004, item 207-13b(1)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 207-13.2.1

FILE NUMBER: 207-13.2.2 – RESCINDED

FILE NUMBER: 207-14

FILE TITLE: Payroll Control Registers

FILE DESCRIPTION: Registers used to control payroll.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit by GAO, whichever is earlier.

AUTHORITY: NC1-330-77-004, item 207-14

PRIVACY ACT: Not applicable

FILE NUMBER: 207-15.1 – Consolidated into 207-23

FILE NUMBER: 207-15.2 – RESCINDED per GRS Transmittal 28

FILE NUMBER: 207-15

FILE TITLE: Payroll Processing Fiscal Schedules – GAO Audit

FILE DESCRIPTION: Memorandum copies of fiscal schedules involved in payroll processing used in GAO audit.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit by GAO, whichever is earlier.

AUTHORITY: NC1-330-77-004, item 207-16a

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 207-16.1



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FILE NUMBER: 207-16

FILE TITLE: Payroll Processing Fiscal Schedules – Other

FILE DESCRIPTION: All other copies of fiscal schedules involved in payroll processing (not used in GAO audit).

DISPOSITION: Temporary. Cut off at end of the pay period. Dispose of 1 month after cutoff.

AUTHORITY: NC1-330-77-004, item 207-16b

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 207-16.2

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

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

FILE NUMBER: 207-17

FILE TITLE: Payroll Program Administrative Records – System Reports

FILE DESCRIPTION: Payroll system reports providing fiscal information on Agency payroll produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit by GAO, whichever is earlier.

AUTHORITY: GRS 2.4, Item 061 (DAA-GRS-2016-0015-0007)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER: 207-17.3

FILE NUMBER: 207-18

FILE TITLE: Tax Withholding and Adjustments Documents

FILE DESCRIPTION: Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees.

DISPOSITION: Temporary. Cut off when superseded or obsolete. Destroy 4 years after cutoff.

AUTHORITY: GRS 2.4, Item 020 (DAA-GRS-2016-0015-0002)

PRIVACY ACT: TBD

FILE NUMBER: 207-19

FILE TITLE: Wage and Tax Statements

FILE DESCRIPTION: Agency copies of IRS Form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents.

DISPOSITION: Temporary. Cut off annually. Destroy 4 years after cutoff.

AUTHORITY: GRS 2.4, Item 050 (DAA-GRS-2016-0015-0005)

PRIVACY ACT: TBD

FILE NUMBER: 207-20 – Consolidated into 207-19

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

FILE NUMBER: 207-22 – Consolidated into 202-23



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FILE NUMBER: 207-23

FILE TITLE: Records used to Calculate Payroll, Arrange Paycheck Deposit, and Change previously issued Paychecks

FILE DESCRIPTION: Includes:

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

DISPOSITION: Temporary. Cut off after paying agency or payroll processor validates data. Destroy 3 years after cutoff.

AUTHORITY: GRS 2.4, Item 010 (DAA-GRS-2019-0004-0001)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 207-15.1, 207-22, 207-23, 207-25.1, 207-25.2, 207-26, 207-27

FILE NUMBER: 207-24

FILE TITLE: Department of Defense Education Activity (DoDEA) Erroneous Overpayments Files

FILE DESCRIPTION: Documents on erroneous overpayments of earnings and benefits to DoDEA overseas civilian employees. These include excess payments of salaries, health benefits, annual sick leave reimbursements, foreign-post differentials, living allowances, and cost of living adjustments. Paperwork contained in individual files that consists of notifications of overpayment to the individual stating the amount of indebtedness to the Government; copies of personnel action notices; vouchers; payment listings; and audit worksheets. Also included are letters from individuals that request a waiver from the indebtedness; DoDEA investigation reports and preliminary decisions; correspondence forwarding claims to the Director, Administration and Management, OSD; and copies of the final decisions rendered by the Comptroller General of the United States.

DISPOSITION: Temporary. Cut off at close of case. Destroy 5 years after cutoff.

AUTHORITY: N1-330-90-002, item 1

PRIVACY ACT: Not Applicable

FILE NUMBER: 207-25

FILE TITLE: Phased-retirement employees' overtime documentation.



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FILE DESCRIPTION: Records documenting the ordering or permitting of phased-retirement employees to work overtime.

DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff.

AUTHORITY: GRS 2.4, item 035 (DAA-GRS-2018-0001-0001)

PRIVACY ACT: Not Applicable

FILE NUMBER: 207-25.1 – Consolidated into 207-23

FILE NUMBER: 207-25.2 – Consolidated into 207-23

FILE NUMBER: 207-26 – Consolidated into 207-23

FILE NUMBER: 207-27 – Consolidated into 207-23

RECORDS CATEGORY: 208

CATEGORY TITLE: Supply and Services

CATEGORY DESCRIPTION: Documents related to supplies, procurement, real property, and related services.

FILE NUMBER: 208-01

FILE TITLE: Procurement Files on Initiation and Development of Transactions that Deviate from Established

FILE DESCRIPTION: Procurement files (as described in 206-09.1) documenting the initiation and development of transactions that deviate from established precedents on general Agency procurements or to major procurement programs.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 208-01

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 208-01, 1201-09.1

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

FILE NUMBER: 208-02

FILE TITLE: Title Papers – Other than Abstract or Certificate: Before January 1, 1921

FILE DESCRIPTION: Title papers documenting the acquisitions of real property (by purchase, condemnation, donation, exchange, or otherwise) other than abstract or certificate of, dated before 1921.

DISPOSITION: Permanent. Cut off on sale or release of property. Transfer to NARA 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

AUTHORITY: NC1-330-77-004, item 208-02b

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 208-02.2

FILE NUMBER: 208-02.3 – Consolidated into 208-05

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

FILE NUMBER: 208-04.1.1 – Consolidated into 206-09.1

FILE NUMBER: 208-04.1.2 – Consolidated into 206-09.1

FILE NUMBER: 208-04.2 – RESCINDED (Per GRS Transmittal 23)

FILE NUMBER: 208-04.3 – Consolidated into 206-09.2



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FILE NUMBER: 208-04 (formerly 208-04.4) – RESCINDED (Per GRS Transmittal 30)

FILE NUMBER: 208-05

FILE TITLE: Real Property Ownership Records

FILE DESCRIPTION: Abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise. **NOTE:** Use File Number 208-02 for property acquired prior to January 1, 1921.

DISPOSITION: Temporary. Cut off and transfer to new owner after unconditional sale or government release of property.

AUTHORITY: GRS 5.4, item 020 (DAA-GRS-2016-0011-0002)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 208-02.1, 208-02.3, 1201-09.2a, 1201-09.2b, 1201-13.1, 1201-13.2, 1201-13.3,1915

FILE NUMBER: 208-05.1 – Consolidated into 204-01

FILE NUMBER: 208-05.2 – Consolidated into 204-01

FILE NUMBER: 208-06.1 – Consolidated into 206-09.1

FILE NUMBER: 208-06.2

FILE TITLE: Financial Bids and Proposals Neither Solicited nor Accepted

FILE DESCRIPTION: Bids and proposals that are both unsolicited and the subject of no further Agency action.

DISPOSITION: Temporary. Cut off and destroy when no longer required for business use.

AUTHORITY: GRS 1.1, item 012 (DAA-GRS-2016-0001-0001)

PRIVACY ACT: Not Applicable

FILE NUMBER: 208-06.3

FILE TITLE: Vendor and Bidder Information (Other than Drug-related Debarments/Suspensions)

FILE DESCRIPTION: Documentation of approved, suspended, and debarred vendors and bidders other than suspensions or debarments for violations of the Drug-Free Workplace Act.

DISPOSITION: Temporary. Cut off upon removal from approved status. Destroy 3 years after cutoff.

AUTHORITY: GRS 1.1, item 071 (DAA-GRS-2016-0001-0005)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 208-06.3, 1201-10.3

FILE NUMBER: 208-06.4

FILE TITLE: Vendor and Bidder Information – Drug-related Debarments/Suspensions

FILE DESCRIPTION: Records of suspensions and debarments of vendors and bidders for violation of the Drug -Free Workplace Act.

DISPOSITION: Temporary. Cut off upon removal from approved status. Destroy 5 years after cutoff.

AUTHORITY: GRS 1.1, item 070 (DAA-GRS-2016-0001-0004)

PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 208-06.3, 1201-10.3



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FILE NUMBER: 208-07.1 – Consolidated into 206-09.1

FILE NUMBER: 208-07.2 – Consolidated into 206-09.1

FILE NUMBER: 208-08 – Consolidated into 206-09.1

FILE NUMBER: 208-09.1 – Consolidated into 204-01

FILE NUMBER: 208-09.2 – Consolidated into 204-01

FILE NUMBER: 208-10.1 – Consolidated into 204-01

FILE NUMBER: 208-10.2 – Consolidated into 204-01

FILE NUMBER: 208-10.3 – Consolidated into 204-01

FILE NUMBER: 208-11 – Consolidated into 206-09.1

FILE NUMBER: 208-12

FILE TITLE: Construction Contractors' Payrolls Files

FILE DESCRIPTION: Agency copy of Contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.

DISPOSITION: Temporary. Cut off upon completion of contract or conclusion of contract being subject to an enforcement action. Destroy 3 years after cutoff.

AUTHORITY: GRS 1.1, item 050 (DAA-GRS-2013-0003-0003)

PRIVACY ACT: Not Applicable

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

FILE NUMBER: 208-14.1

FILE TITLE: Sales of Surplus Real Property – Case Files

FILE DESCRIPTION: Case files on sales of surplus personal property and real property comprising invitations, bids, acceptances, lists of material, evidence of sales and related papers involving transactions and other papers that document the initiation and development of transactions that deviate from established precedents to major disposal programs.

DISPOSITION: Permanent. Cut off when case is closed; transfer to NARA 20 years after cutoff. **NOTE:** Use 206-09.1 for case files involving property that does not fit under this file number.

AUTHORITY: NC1-330-77-004, item 208-14a(1)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 208-14.1a, 1201-11.1

FILE NUMBER: 208-14.1b – RESCINDED

FILE NUMBER: 208-14.2

FILE TITLE: Disposal of Surplus Real Property

FILE DESCRIPTION: Case files on disposal of surplus real and related personal property (as described in 208-14.1, above).

DISPOSITION: Permanent. Cut off at close of case. Transfer record copies including related material 20 years after cutoff.

AUTHORITY: NC1-330-77-004, item 208-14b(1)

PRIVACY ACT: Not Applicable



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FORMER FILE NUMBER(s): 208-14.2a, 1201-11.2

FILE NUMBER: 208-14.2b – RESCINDED

FILE NUMBER: 208-14.3.1 – Consolidated into 206-09.1

FILE NUMBER: 208-14.3.2 – Consolidated into 206-09.1

FILE NUMBER: 208-15.1 – Consolidated into 204-01

FILE NUMBER: 208-15.2 – Consolidated into 204-01

FILE NUMBER: 208-15.3 – Consolidated into 204-01

FILE NUMBER: 208-16 – Consolidated into 204-08.1

FILE NUMBER: 208-17

FILE TITLE: Cost Accounting for Stores, Inventory, and Materials

FILE DESCRIPTION: Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as:

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

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 1.1, Item 040 (DAA-GRS-2013-0003-0012)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 208-17.1, 208-17.2, 208-17.3, 208-17.4, 211-01.1, 211-01.2, 211-01.3, 211-02.1, 211-02.2

FILE NUMBER: 208-17.1 – Consolidated into 208-17

FILE NUMBER: 208-17.2 – Consolidated into 208-17

FILE NUMBER: 208-17.3 – Consolidated into 208-17

FILE NUMBER: 208-17.4 – Consolidated into 208-17

FILE NUMBER: 208-18

FILE TITLE: Property, Plant and Equipment (PP&E) and Other Asset Accounting

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

- Purchase orders and contracts
- Invoices
- Appraisals
- Costing and pricing data
- Transactional Schedules



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- Titles
- Transfer, acceptance and inspection records
- Asset retirement, excess and disposal records
- Plant account cards and ledgers pertaining to structures
- Correspondence and work papers

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 1.1, Item 030 (DAA-GRS-2013-0003-0004)

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 209

CATEGORY TITLE: Information Security

CATEGORY DESCRIPTION: Records accumulating from measures taken by Agencies to protect classified information from unauthorized disclosure

FILE NUMBER: 209-01 – Consolidated into 203-20

FILE NUMBER: 209-02 – Consolidated into 101-06

FILE NUMBER: 209-03 – Consolidated into 101-06

FILE NUMBER: 209-04 – Consolidated into 101-06

FILE NUMBER: 209-05.1 – Consolidated into 203-21

FILE NUMBER: 209-05.2 – Consolidated into 203-21

FILE NUMBER: 209-06 – Consolidated into 101-06

FILE NUMBER: 209-07 – Consolidated into 101-08

FILE NUMBER: 209-08a – Consolidated into 209-08

FILE NUMBER: 209-08b – Consolidated into 209-08

FILE NUMBER: 209-08

FILE TITLE: Information Security Violations Records

FILE DESCRIPTION: Case files about investigating alleged violations of Executive Orders, laws, or Agency regulations on safeguarding national security information, exclusive of documents placed in official personnel folders . Includes allegations referred to the Department of Justice (DOJ) or Department of Defense Also includes final reports and products. Not to be confused with Defense Investigative Program Records (210-01.1.1 - 210-01.1.3).

DISPOSITION: Temporary. Cut off upon close of case or final action. Destroy 5 years after cutoff.

AUTHORITY: GRS 5.6, item 200 (DAA-GRS-2017-0006-0027)

PRIVACY ACT: Not Applicable

FILE NUMBER: 209-09

FILE TITLE: Insider Threat Administrative and Operations Records

FILE DESCRIPTION: Records about insider threat program and program activities. Includes:

- Correspondence related to data gathering
- Briefing materials and presentations
- Status reports
- Procedures, operational manuals, and related development records
- Implementation guidance
- Periodic Inventory of all information, files, and systems owned



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- Plans or directives and supporting documentation, such as:
 - Independent and self-assessments
 - Corrective action plans
 - Evaluative reports

DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.

AUTHORITY: GRS 5.6, item 210 (DAA-GRS-2017-0006-0028)

PRIVACY ACT: Not Applicable

FILE NUMBER: 209-10

FILE TITLE: Insider Threat Inquiry Records

FILE DESCRIPTION: Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.

DISPOSITION: Temporary. Cut off after close of inquiry. Destroy 25 years after cutoff.

AUTHORITY: GRS 5.6, item 220 (DAA-GRS-2017-0006-0029)

PRIVACY ACT: Not Applicable

FILE NUMBER: 209-11

FILE TITLE: Insider Threat Information

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

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



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

DISPOSITION: Temporary. Cut off annually. Destroy 25 years after cutoff.

AUTHORITY: GRS 5.6, item 230 (DAA-GRS-2017-0006-0030)

PRIVACY ACT: Not Applicable

FILE NUMBER: 209-12

FILE TITLE: Insider Threat User Activity Monitoring (UAM) Data

FILE DESCRIPTION: User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to:

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

DISPOSITION: Temporary. Cut off after inquiry is opened. Destroy 5 years after cutoff.

AUTHORITY: GRS 5.6, item 240 (DAA-GRS-2017-0006-0031)

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 210

CATEGORY TITLE: Defense Investigative Program Records

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

FILE NUMBER: 210-01

FILE TITLE: DoD Civilians and/or Military Routine Investigations

FILE DESCRIPTION: Personnel security investigations of a favorable nature and other investigations of a minor nature. Includes personnel security data on members of the Armed Forces, DoD civilian employees, and contractor employees under the Defense Industrial Security Program; data on activities threatening the security or involving the disruption or subversion of DoD military and civilian personnel, functions, activities, installations, information, communications, equipment and supplies; data on investigative activities within the United States, the District of Columbia, the Commonwealth of Puerto Rico, and United States Territories and possessions.

DISPOSITION: Temporary. Cut off at close of investigation. Destroy 15 years after cutoff (completion date of the last investigative action for that file). **NOTE:** Personnel security files on persons who are considered for affiliation with the Department of Defense shall be destroyed after 1 year if the affiliation is not completed.



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AUTHORITY: NC1-330-77-004, item 210-01a(1)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.1.1

FILE NUMBER: 210-02

FILE TITLE: DoD Civilians and/or Military Significant Incidents of Adverse Actions

FILE DESCRIPTION: Personnel security investigations resulting in an adverse personnel action or court-martial, or other investigation required for long-term administrative or legal use.

DISPOSITION: Temporary. Cut off at close of investigation (the date of the last action). Destroy 25 years after cutoff. **NOTE:** Those files determined to be of possible historical value and those of widespread public or congressional interest may be transferred to NARA after 15 years.

AUTHORITY: NC1-330-77-004, item 210-01a(2)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.1.2

FILE NUMBER: 210-03

FILE TITLE: DoD Civilians and/or Military Major Investigations

FILE DESCRIPTION: Investigations of espionage and sabotage, or other major investigations of a counterintelligence and a security nature.

DISPOSITION: Permanent. Cut off at close of investigation (after the date of the last action). Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-004, item 210-01a(3)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.1.3

FILE NUMBER: 210-04

FILE TITLE: Consolidated Adjudication Files containing Derogatory Findings

FILE DESCRIPTION: Adjudication files containing derogatory findings resulting in an unfavorable security clearance determination. Such an action will cause an individual to have a security clearance revoked or the individual will have been found ineligible for a security clearance.

DISPOSITION: Temporary. Cut off after the date of the last action. Destroy 25 years after cutoff. **NOTE:** Files determined to be of possible historical value and those of widespread public or Congressional interest may be offered to NARA after 15 years under a completed SF-115.

AUTHORITY: N1-330-00-002, item 1

PRIVACY ACT: DWHS P29

FILE NUMBER: 210-05

FILE TITLE: Consolidated Adjudication Files resulting in a Favorable Adjudication Action

FILE DESCRIPTION: The basis for the favorable clearance action is an investigative case file on the subject from the Defense Security Office, Office of Personnel Management, or other Federal investigative agency. The investigative file must be returned to the originator or destroyed.

DISPOSITION: Temporary. Cut off after completion date of the last adjudication action for the file. Destroy 15 years after cutoff. **NOTE:** Files on persons who are considered for affiliation with the Department of Defense will be destroyed after one year if the affiliation is not completed.

AUTHORITY: N1-330-00-002, item 2

PRIVACY ACT: DWHS P29



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FILE NUMBER: 210-06

FILE TITLE: Defense Investigative Case Files on non-DoD Affiliated U.S. Citizen and Organizations Originated Outside DoD

FILE DESCRIPTION: Activities or events posing one of the following types of continuing threats to DoD military and civilian personnel and Defense activities and installations:

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

DISPOSITION: Temporary. Cut off upon completion of investigation (acquisition). Destroy after a period of not later than 1 year after cutoff, unless validated for retention for another year when it is determined during the annual verification review by the Secretaries of the Military Departments that a continued threat exists.

AUTHORITY: NC1-330-77-004, item 210-01b(1)(a)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.2.1.1

FILE NUMBER: 210-07

FILE TITLE: Defense Investigative Case Files on non-DoD Affiliated U.S. Citizen and Organizations Originated Outside DoD - Significant

FILE DESCRIPTION: Files or other documents created within the Department of Defense that contain significant analytical comments, value judgments, or recommendations on information received or acquired from Agencies outside the Department of Defense.

DISPOSITION: Temporary. Cut off upon completion of investigation (acquisition). Destroy after a period of not later than 1 year after cutoff, unless validated on an annual basis for continued retention. When DoD-originated information is not validated for continued retention, these files shall be transferred to NARA for a determination of their historical value.

AUTHORITY: NC1-330-77-004, item 210-01b(1)(b)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.2.1.2

FILE NUMBER: 210-08

FILE TITLE: Defense Investigative Case Files on non-DoD Affiliated U.S. Citizen and Organizations Originated Outside DoD - Activities or events not posing a continuing threat

FILE DESCRIPTION: Information originated by, and received or acquired from, Agencies outside the Department of Defense during the course or routine investigative or liaison activity which after receipt is subsequently determined to fall outside the area of interest of the DoD personnel, property or functions and no DoD file is created or DoD information generated.



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DISPOSITION: Temporary. Cut off on close of investigation. Destroy immediately after an evaluation determines a threat does not exist or not later than 90 days following acquisition.

AUTHORITY: NC1-330-77-004, item 210-01b(2)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.2.2

FILE NUMBER: 210-09

FILE TITLE: Defense Investigative Case Files on non-DoD Affiliated U.S. Citizen and Organizations Originated within DoD - Special Investigations and Operations

FILE DESCRIPTION: Files or other documentation originated by the DoD Components pertaining to those activities of non-DoD affiliated organizations and individuals that potentially or actually threatened DoD functions, property or personnel, and files or other documentation on Defense Investigative Review Council-approved measures to quell or counter these activities.

DISPOSITION: Permanent. Cut off on close of investigation (the date of the last action). Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-004, item 210-01b(3)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.2.3

FILE NUMBER: 210-10

FILE TITLE: Defense Investigative Case Files on Organizations and Individuals Servicing the DoD Installations – Commercial Services

FILE DESCRIPTION: Investigative information on organizations and individuals providing commercial services, engaged in contracts, or otherwise engaged in business enterprises on DoD installations.

DISPOSITION: Temporary. Cut off on close of investigation. Destroy 1 year after the service is discontinued unless the contract is in dispute, in which event the file shall be destroyed 1 year after final payment of the other settlement of the obligation.

AUTHORITY: NC1-330-77-004, item 210-01b(4)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.2.4

FILE NUMBER: 210-11

FILE TITLE: Defense Investigative Case Files – Representatives of DoD

FILE DESCRIPTION: Requests for DoD personnel to attend or officiate at meetings, ceremonies, etc., as representatives of the Department of Defense. Includes information on the organization and individual making the request, the nature of the event, and any other details describing the occasion.

DISPOSITION: Temporary. Cut off at end of event. Destroy not later than 1 year after cutoff.

AUTHORITY: NC1-330-77-004, item 210-01b(5)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.2.5

FILE NUMBER: 210-12

FILE TITLE: Defense Investigative Case Files – One-Time Admittance to Installations



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FILE DESCRIPTION: One-time requests for admittance to installations (speakers, bands, drill teams, tours, etc.). Includes information concerning the organization and individual requesting admittance to the installation.

DISPOSITION: Temporary. Cut off at event (admittance). Destroy not later than 1 year after cutoff.

AUTHORITY: NC1-330-77-001, item 210-01b(6)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.2.6

FILE NUMBER: 210-13

FILE TITLE: Defense Investigative Case Files – Public Inquiries

FILE DESCRIPTION: Inquiries from members of the public to the Department of Defense for information on DoD functions or units, unit insignia, signatures or photos of senior commanders, etc. Information concerning the collectors of such items.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff or when no longer determined pertinent by annual review.

AUTHORITY: NC1-330-77-004, item 210-01b(7)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 210-01.2.7

FILE NUMBER: 210-14

FILE TITLE: Defense Investigative Case Files – Unsubstantiated Reports from the Public

FILE DESCRIPTION: Unsubstantiated reports to the DoD Components from members of the public alleging imminent invasions, plots, and similar events of a delusional nature, and assorted "crank" letters. Includes information concerning the organization and/or individual providing such details.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff or when no longer determined pertinent by annual review.

AUTHORITY: NC1-330-77-004, item 210-01b(8)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 210-01.2.8

FILE NUMBER: 210-15

FILE TITLE: Defense Investigative Case Files – Incident to Investigation of Affiliated

FILE DESCRIPTION: Information collected on non-DoD affiliated civilians incident to the personnel security investigation of an affiliated member.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff or when no longer determined pertinent by an annual review.

AUTHORITY: NC1-330-77-004, item 210-01b(9)

PRIVACY ACT: DWHS P29

FORMER FILE NUMBER: 210-01.2.9

FILE NUMBER: 210-16

FILE TITLE: Civil Disturbance Files – Officials List

FILE DESCRIPTION: Open source listing of Federal, State, and local officials who have official responsibilities on control of civil disturbances obtained before to commitment of Federal troops and



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routinely maintained for planning purposes. **NOTE:** The Attorney General is the chief civilian officer in charge of coordinating all Federal Government activities relating to civil disturbances.

DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed for reference.

AUTHORITY: NC1-330-77-004, item 210-02a

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 210-02.1

FILE NUMBER: 210-17

FILE TITLE: Civil Disturbance Files – Physical Data

FILE DESCRIPTION: Open source physical data on vital public or private installations, facilities, highways, and utilities, which may be necessary to carry out missions assigned, are obtained before to commitment of Federal troops and routinely maintained for planning purposes. **NOTE:** The Attorney General is the chief civilian officer in charge of coordinating all Federal Government activities relating to civil disturbances. Upon specific prior authorization of the Secretary of Defense or designee, information may be acquired that is essential to meet operational requirements stemming from the mission assigned to the Department of Defense to assist civil authorities in dealing with civil disturbances. Such authorizations shall only be granted when there is a distinct threat of civil disturbance exceeding the law enforcement capabilities of State and local authorities.

DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed.

AUTHORITY: NC1-330-77-004, item 210-02b

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 210-02.2

FILE NUMBER: 210-18

FILE TITLE: Civil Disturbance Files – Warnings from Other Agencies

FILE DESCRIPTION: Data that pertains to early warnings of incidents, potential threats, and situation estimates that are obtained from Federal, State, or local investigative or law enforcement Agencies (that is duplicative of files maintained by the originating Agency) before commitment of Federal troops and subjected to evaluation to determine pertinency with no DoD file being created or no DoD information generated.

DISPOSITION: Temporary. Cut off after termination of the specific situation of incident. Destroy 60 days after cutoff.

AUTHORITY: NC1-330-77-004, item 210-02c

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 210-02.3

FILE NUMBER: 210-19

FILE TITLE: Civil Disturbance Files – Field Acquisition Activities

Data collected or developed by the DoD Components during a period when field acquisition, reporting, or processing activities have been specifically authorized by the Secretary of Defense. This data includes unconfirmed, fragmentary, routine, or transitory material not included as background data in item 210-20, below.

DISPOSITION: Temporary. Cut off at the termination of the civil disturbance. Destroy 60 days after cutoff.



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AUTHORITY: NC1-330-77-004, item 210-02d

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 210-02.4

FILE NUMBER: 210-20

FILE TITLE: Civil Disturbance Files – After Action Reports and Historical Summaries

FILE DESCRIPTION: Documents prepared by Military Department staffs, Agency headquarters, or task force elements that are responsible for directing the activities of field units that are engaged in quelling a civil disturbance, including background data, after-action reports and historical summaries. Such after-action reports and historical summaries shall avoid to the greatest extent possible references to non-affiliated persons and organizations.

DISPOSITION: Permanent. Cut off after situation or event terminates. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-004, item 210-02e

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 210-02.5

RECORDS CATEGORY: 211 – RESERVED

FILE NUMBER: 211-01.1 – Consolidated into 208-17

FILE NUMBER: 211-01.2 – Consolidated into 208-17

FILE NUMBER: 211-01.3 – Consolidated into 208-17

FILE NUMBER: 211-02.1 – Consolidated into 208-17

FILE NUMBER: 211-02.2 – Consolidated into 208-17

FILE NUMBER: 211-03.1 – Consolidated into 204-06

FILE NUMBER: 211-03.2 – Consolidated into 204-06

FILE NUMBER: 211-04 – Consolidated into 206-09.1

RECORDS CATEGORY: 212

CATEGORY TITLE: Office of the Secretary of Defense (OSD)

CATEGORY DESCRIPTION: Records of the immediate Office of the Secretary of Defense, the Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense, and the immediate office of the head of an OSD Component containing substantive information relating to official activities.

FILE NUMBER: 212-01

FILE TITLE: Significant (Non-Routine) Records of the Immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense

FILE DESCRIPTION: Records of the immediate Office of the Secretary of Defense, the Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense, and the immediate office of the head of an OSD Component. These records contain substantive information relating to official activities and document the following topics:

- Issue policy, prescribe procedures or effect organizational structures.
- Provide executive direction or document major functions.
- Pertain to relations with the White House, Executive Office of the President, Congress or the public.



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- Pertain to foreign affairs.
- Prescribe budget policy.
- Pertain to litigations and formal legal opinions.
- Pertain to major programs and plans.
- Calendars, appointment books, schedules, logs, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity, EXCLUDES materials determined to be personal.
- Executive Military Assistant notes which document meetings and other official activities of the Secretary of Defense and Deputy Under Secretary of Defense, the substance of which has not been incorporated into other records.
- Pertain to responses to sudden catastrophic events natural or manmade such as September 11th, Hurricane Katrina, and Haitian Earthquake of 2010.
- Signature files, i.e., outgoing correspondence arranged in chronological order prepared for by the offices of the Secretary of Defense, immediate offices of the heads of each OSD Component, and the heads of those organizations under OSD for Administrative support.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff. Pre-accession is authorized; transfer to NARA in 2-year blocks or departure of the official, in a medium and format acceptable to NARA in accordance with 36 CFR 1235.

AUTHORITY: N1-330-11-010, item 212-01

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 102-16b, 103-14b, 201-19, 212-01, 702-01.3, 1301-19

FILE NUMBER: 212-02

FILE TITLE: Routine Records of the Immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense

FILE DESCRIPTION: Records of the immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense of a routine, non-policy nature with no permanent value or historical significance.

DISPOSITION: Cut off annually. Destroy 7 years after cutoff.

AUTHORITY: NC1-330-78-007, Item 1b

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 212-02, 702-01.4

FILE NUMBER: 212-03

FILE TITLE: Files of Individuals Evaluated for Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) Non-Career Appointments in the Department of Defense.

FILE DESCRIPTION: Files for personnel evaluated for non-career positions within the DoD if such individuals are appointed by the President of the United States (PA's) or appointed by the President of the United States with Senate Confirmation (PAS's). These files consist of:

- Referral letters
- Resumes
- Standard Forms 171 (SF 171 forms)
- Position Descriptions
- White House clearance letters
- OPM certifications
- Other correspondence related to the selection and appointment of political appointees



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NOTE: Use 202-82 or 202-83 for Schedule C employees who are NOT PA or PAS individuals.

DISPOSITION: Temporary. Cut off and destroy at the end of the presidential administration during which the individual is hired, or when no longer needed, whichever is sooner, except that instead of destruction, certain pertinent documents may be offered to OSD Personnel and Security for inclusion in the individual's OPF.

AUTHORITY: GRS 2.1, item 100 (DAA-GRS-2014-0002-0014)

PRIVACY ACT: DATSD 03 and DGC 16

FILE NUMBER: 212-04

FILE TITLE: Special Studies and Task Force Files

FILE DESCRIPTION: Special studies, task forces, working groups, boards, or committees established by Agency authority (not established by Executive Order or Public Law) related to the Agency's mission, composed of full-time officers or employees of the Federal Government, and not subject to the Federal Advisory Committee Act (FACA). Includes committees tasked with reviewing or analyzing policy, studying reorganizations, base realignments, or recommending new actions. Also included are special task forces, boards, or committees appointed for special tasks that do not fall in other identifiable functional areas. Record information includes directives establishing, changing, continuing, or dissolving the committee, agenda, meeting minutes, final reports, and related records recording accomplishments of official boards and committees.

DISPOSITION: Permanent. Cut off annually or upon termination of the committee, board, or group; transfer to NARA 20 years after cutoff.

AUTHORITY: N1-330-11-010, Item 212-04

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 102-19.1, 1803-01.2, 1807-01.4a

FILE NUMBER: 212-05

FILE TITLE: Personal Files and Non-Record Materials for Political Appointees and Senior Officials

FILE DESCRIPTION: Information accumulated by Senior officials, such as Secretary of Defense, Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense during their tenures in office. Information in these collections may contain personal files relating to an individual's personal affairs, as well as "extra copies" of documents/information kept only for ease of reference that may document significant events, activities, decisions, or transactions during an official's time in service. These collections are to be maintained separately and identified with the individual official accumulating them, such as "SecDef XXX's personal files." Many of the collections retained by high-level officials are created on a highly selective basis, and may contain, classified information; nevertheless, consideration should be given to serving the needs of historical scholarship by donating the unclassified collection to a research institution. **NOTE:** Official record copies should never be included in these collections and are to be filed and maintained with related files in accordance with this schedule. Non-record materials that are classified may never be removed from DoD custody and are subject to the same restrictions that apply to all other classified documents. **NOTE:** All records and copies thereof made or received by military or civilian members of the DoD in the course of conducting Government business are considered Federal Records. No person acquires a proprietary interest in any official documentation by virtue of his military or civilian position.

DISPOSITION: Temporary. Cut off and destroy when no longer needed. Officials may remove personal files and unclassified non-record materials, if approved by the agency records official; removal does not



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affect DoD's ability to invoke certain legal privileges, and it does not diminish the official record and/or does not include information that is subject to the Privacy Act, classified, or prohibited from release. Officials may make arrangements to donate their personal files and unclassified non-records materials to a research institution in coordination with the OSD Records Administrator and DoD General Counsel. Senior officials that have maintained "extra copies" of classified documents and wish to maintain these non-record materials may request to deposit these materials into the OSD Executive Archives, providing the materials have significant historical reference value as a set.

AUTHORITY: Non-Record

PRIVACY ACT: Not Applicable

FILE NUMBER: 212-06

FILE TITLE: Secretary of Defense (SecDef) and Deputy Secretary of Defense (DepSecDef) Media and Trip Files

FILE DESCRIPTION: Documents including invitations and correspondence to and from the Secretary and Deputy Secretary of Defense concerning U.S. and foreign media interviews, public speeches, installation visits, and other events related to SecDef and/or DepSecDef travel. Individual files for each media, speech, or trip event include SecDef and/or DepSecDef, ASD (PA) guidance, geographic, legislative and military program issue papers, coordination memoranda, after-action reports, and various working documents supporting an overall approved event card or trip itinerary.

DISPOSITION: Permanent. Cut off upon change of SecDef or DepSecDef. Transfer to NARA 25 years after cutoff.

AUTHORITY: N1-330-93-003, item 1

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 708-01

FILE NUMBER: 212-07

FILE TITLE: Informational Releases and Publications – Speeches

FILE DESCRIPTION: Complete set of formal official speeches with indexes.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-012, item 701-09a

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 701-09.1.2

FILE NUMBER: 212-08

FILE TITLE: Informational Releases and Publications – Biographies

FILE DESCRIPTION: Biographies of Presidential Appointees, and other OSD senior level officials. Not to be confused with biographic material gathered for trips or visitors, which are temporary (101-01.1).

DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-012, item 701-09h

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 701-09.7

FILE NUMBER: 212-09

FILE TITLE: Secretary of Defense and Deputy Secretary of Defense Guest Books



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FILE DESCRIPTION: Guest books maintained to capture the signature and/or personnel comments of visiting distinguished guests and senior officials. Comments in books may be in the native language of the visitor. Signature of the guest is optional.

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

AUTHORITY: DAA-0330-2013-0011-0001

PRIVACY ACT: Not Applicable

FILE NUMBER: 212-10

FILE TITLE: Email Retention for the CAPSTONE Officials on the Secretary of Defense Network

FILE DESCRIPTION: All recorded information maintained in email accounts (regardless of classification) for current and incoming OSD personnel identified as Presidential Appointees (PA), Presidentially appointed, Senate-confirmed Officials (PAS), Schedule C, Detailed Officials, Non-career SES in the Immediate Office of the Secretary and Deputy Secretary of Defense, DoD Executive Secretary their staffs, and such other staff offices as the Secretary of Defense establishes within the Immediate Office of the Secretary of Defense to assist in carrying out assigned responsibilities. **NOTE:** Use File Number File Number 102-11.1 for OSD Non-Capstone Employee emails, File Number 102-11.2 for Contractor Emails and File Number 102-12 for the Emails of the DoD General Counsel or General Counsels assigned to OSD Components). Includes:

- Email messages and attachments
- Email calendars and appointments
- Email tasks
- Email chat transcripts, and other communications maintained on DEE or non-DEE email systems (including the Secretary of Defense Network officials)

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.

AUTHORITY: GRS 6.1-0330-2017-0001-0001

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 102-12.1a

FILE NUMBER: 212-11

FILE TITLE: Commemorative Program Files

FILE DESCRIPTION: Records created by commemorative programs established under public law to commemorate events or anniversaries relating to the functions of the Department of Defense. These commemorations are authorized to establish commemorative programs that coordinate, support, and facilitate other programs and activities of the Federal Government, State and local governments, and other persons and organizations participating in the commemoration activities. Record information includes but not limited to the following:

- Program descriptions, member lists, organization charts, meeting minutes, agendas, reports, speeches and presentations, logos, media contacts and press releases, directives establishing and dissolving the commemoration program.
- Records of agreements with professional associations and other agencies that participated in the observation after action reports received of derivative programs for management and control of information requirements of the DoD Components. Represents the Department of Defense in development of Federal policy information requirements. Establishes and administers the information requirements levied on the DoD Components, defense contractors, and the general public.



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DISPOSITION: Permanent. Cut off annually. Send electronic records to NARA for pre-accessioning 3 years after cutoff. Transfer to NARA upon termination of the commemoration program.

AUTHORITY: DAA-0220-2013-0001-0001

PRIVACY ACT: Not Applicable

FILE NUMBER: 212-12

FILE TITLE: Commemorative Program Administrative Files

FILE DESCRIPTION: Records created by the commission staff in the conduct of routine administrative actions and research, included are:

- Copies of housekeeping and facilitative records including travel, exhibit shipping, printing and graphics requests, and technical office copies of contract files.
- Background research materials consisting of information used in planning events, reference materials, and supporting materials from other sources. The information in these files may be found elsewhere.
- Questionnaires, surveys and other raw data accumulated in connection with the program.
- Routine inquiries and correspondence answered by commission staff filed by date, subject or name of staff member.

DISPOSITION: Temporary. Cut off and destroy immediately after termination of the commission.

AUTHORITY: DAA-0220-2013-0001-0002

PRIVACY ACT: Not Applicable

FILE NUMBER: 212-13

FILE TITLE: Commemorative Program Website Content Files

FILE DESCRIPTION: Records which consists of materials available solely on the website to include PDF files, and unique electronic documents.

DISPOSITION: Permanent. Cut off and transfer to NARA upon termination of Commission.

AUTHORITY: DAA-0220-2013-0001-0003

PRIVACY ACT: Not Applicable

FILE NUMBER: 212-14

FILE TITLE: Commemorative Program Website Administrative Files

FILE DESCRIPTION: Records created while administering the website, including electronic copies used as inputs to the site, electronic images produced as outputs, website use and control report, website screen printouts, system documentation, web design records, web site change control records, website migration records, and system configuration software.

DISPOSITION: Temporary. Cut off and destroy immediately after termination of the Commission.

AUTHORITY: DAA-0220-2013-0001-0004

PRIVACY ACT: Not Applicable

FILE NUMBER: 212-15

FILE TITLE: Commemorative Program Photos, Videos, and Films

FILE DESCRIPTION: Photos, videos and films, digital or analog of the commission. Two copies of posters and the final report.

DISPOSITION: Permanent. Cut off and transfer to the Defense Media Activity (DMA) in accordance with DoD Instruction 5040.02, Visual Information (VI).

AUTHORITY: DAA-0220-2013-0001-0005



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PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 213

CATEGORY TITLE: Directives Section Files

CATEGORY DESCRIPTION: Records of the Department of Defense Directives Section.

FILE NUMBER: 213-01

FILE TITLE: Department of Defense Issuances

FILE DESCRIPTION: Directives Section files that consist of DoD Directives, DoD Instructions, DoD Publications, Administrative Instructions, amendments thereto, other policy issuances under the DoD Directive System, and supporting documentation.

DISPOSITION: Permanent. Cutoff when superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-78-007, item 213

PRIVACY ACT: Not Applicable

FILE NUMBER: 213-02.1 – Moved to 214-01

FILE NUMBER: 213-02.2 – Moved to 214-03

RECORDS CATEGORY: 214

CATEGORY TITLE: Information Operations and Reports Files (IO&R)

CATEGORY DESCRIPTION: Records pertaining to information management. Includes information collection and forms management.

FILE NUMBER: 214-01a – Moved to 808-07

FILE NUMBER: 214-01b – Moved to 808-08

FILE NUMBER: 214-01

FILE TITLE: Federal Register Notices Other than Proposed or Final Rules

FILE DESCRIPTION: Records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours of public opening, use of an Agency's seal, guidance, System of Records Notices (SORNs), Paperwork Reduction Act Information Collection Requests (PRA ICRs), and other matters not codified in the Code of Federal Regulations.

NOTE 1: This File Number applies ONLY to notices about these items. Use File Number 203-29 (GRS 4.2, item 150) for the development/finalization of the SORNs themselves and 214-08 (GRS 5.7, item 050) for the PRA Information Collection reports.

NOTE 2: Use File Number 103-06.4 (GRS 6.2, item 050) for Notices of meetings of committees established under the Federal Advisory Committee Act (FACA).

DISPOSITION: Temporary. Cut off annually and destroy 1 year after cutoff.

AUTHORITY: GRS 5.7, item 070 (DAA-GRS-2017-0012-0004)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 213-02.1

FILE NUMBER: 214-02

FILE TITLE: Defense Contract Action Data System (DCADS)



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FILE DESCRIPTION: An IT file that contains data on prime contract actions reported on DD Forms 350 and 1057.

DISPOSITION: Permanent. Cut off and prepare the full data file as of September 30 of each year. Transfer to NARA by acceptable electronic medium within 120 days of cutoff, along with adequate documentation to read and understand the file and a properly completed NA Form 14097 "Technical Description For Transfer of Electronic Records to the National Archives." IT file containing data on prime contract actions reported on DD Forms 350 over \$10,000 for FY 1966 through FY 1982 and actions over \$25,000 for subsequent fiscal years as well as summary data on actions of \$25,000 or less reported on DD Forms 1057 from FY 1984 on are included

AUTHORITY: NC1-330-78-012, item 1

PRIVACY ACT: Not Applicable

FILE NUMBER: 214-03

FILE TITLE: Agency Input into the Unified Agenda

FILE DESCRIPTION: Records that process Agency input into the publication of:

- The Unified Agenda of Federal and Deregulatory Actions (also known as the "Unified Agenda" or "semiannual regulatory agenda") published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB)
- Agency regulatory flexibility agendas
- The Regulatory Plan

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: GRS 5.7, item 080 (DAA-GRS-2017-0012-0005)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 213-02.2

FILE NUMBER: 214-04

FILE TITLE: Forms Management Records

FILE DESCRIPTION: Records involved with ensuring use of standard and Agency forms to support effective recordkeeping and ensuring that Federal standard forms are available and used as appropriate to support Federal recordkeeping requirements. Includes:

- Registers or databases used to record and control the numbers and other identifying data assigned to each form
- Official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form
- Background materials and specifications

DISPOSITION: Temporary. Cut off after form is discontinued, superseded, or canceled. Destroy 3 years after cutoff.

AUTHORITY: GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 214-04.1, 214-04.2

FILE NUMBER: 214-04.1 – Consolidated into 214-04

FILE NUMBER: 214-04.2 – Consolidated into 214-04



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FILE NUMBER: 214-05

FILE TITLE: Administrative Management Report Requirements Records

FILE DESCRIPTION: Processing and submission files on reports an Agency creates or proposes. Includes:

- Copies of authorizing directives
- Preparation instructions
- Descriptions of required or standardized formats
- Clearance forms
- Documents on evaluating, continuing, revising, and discontinuing reporting requirements

DISPOSITION: Temporary. Cut off after the report is discontinued. Destroy 2 years after cutoff.

AUTHORITY: GRS 5.7, item 040 (DAA-GRS-2020-0001-0002)

PRIVACY ACT: Not Applicable

FILE NUMBER: 214-06 – RESCINDED. Use applicable series under 1606 and/or 1105.

FILE NUMBER: 214-07

FILE TITLE: Information Management

FILE DESCRIPTION: Documents that develop, establish, and prescribe DoD-wide policy and criteria on management and control of all types of information requirements, including internal, interagency, and public reporting, forms, statistical surveys, and questionnaires and management systems required in the acquisition process, and encompassing all types of techniques of data and information collecting, recordings processing, and reporting. Review the implementation and operations of derivative programs for management and control of information requirements of the DoD Components. Represents the Department of Defense in development of Federal policy information requirements. Establishes and administers the information requirements levied on the DoD Components, defense contractors, and the general public.

DISPOSITION: Permanent. Cut off upon close of case file. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-013, item 304-05.1

PRIVACY ACT: Not Applicable

FILE NUMBER: 214-08

FILE TITLE: Mandatory Reports to External Federal Entities regarding Administrative Activities

FILE DESCRIPTION: Agency-level reports that external federal oversight entities, such as the White House, Congress, the Office of Management and Budget (OMB), Office of Personnel Management (OPM), and General Services Administration (GSA) require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing Requirements, and the FAIR Act. Examples include:

- Agency Financial Report (AFR)
- Statement of Assurance (per FMFIA), or equivalent
- Information Collection Clearances
- Report on financial management systems' compliance with requirements (per FMFIA), or equivalent
- Report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA)
- EEOC Reports



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- Analysis and Action Plans and other reports required by EEOC's MD 715
- No FEAR Act Reports
- Service organization auditor report, or equivalent
- Improper payments report
- Premium class travel report
- Report on property provided to non-federal recipients, schools, and nonprofit educational institutions
- Feeder reports to the Status of Telework in the Federal Government Report to Congress
- Feeder reports to GSA fleet reports

Includes ancillary records such as:

- Background and research records
- Submission packets and compilations
- Related files

EXCLUSION: Mandatory reports and records related to OSD management and oversight that are not limited to administrative matters, such as Agency Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records (See Records Category 201)

EXCLUSION: Mandatory external reports on financial matters

DISPOSITION: Temporary. Cut off after report submission or oversight entity notice of approval, as appropriate. Destroy 6 years after cutoff.

AUTHORITY: GRS 5.7, item 050 (DAA-GRS-2020-0001-0003)

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 215

CATEGORY TITLE: Administrative Audiovisual Records

CATEGORY DESCRIPTION: Non-permanent, non-mission/program-related Audiovisual records (still and motion picture photography, graphic materials, and sound and video recordings) – and related documentation ((1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records). Use 700 series for records created/maintained by The Assistant Secretary for Public Affairs (ASD(PA)). Use 202-48.2 for audiovisual training materials/records.

FILE NUMBER: 215-01

FILE TITLE: Routine Audiovisual Records

FILE DESCRIPTION: Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the Mission of the Agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records. **NOTE:** Any incidences of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this form.

DISPOSITION: Temporary. Cut off at end of the event. Destroy 2 years after cutoff.

AUTHORITY: GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)

PRIVACY ACT: Not Applicable

FILE NUMBER: 215-02

FILE TITLE: Identification Cards



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FILE DESCRIPTION: Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, and Personal Identity Verification (PIV) cards.

DISPOSITION: Temporary. Cut off and destroy after expiration, confiscation or return.

AUTHORITY: GRS 5.6, item 121 (DAA-GRS-2017-0006-0017)

PRIVACY ACT: Not Applicable

FILE NUMBER: 215-03

FILE TITLE: Temporary and Local Facility Identification and Card Access Records

FILE DESCRIPTION: Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes:

- Temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance
- Supplemental cards issued to access elevators
- Personnel identification records stored in an identity management system for temporary card issuance
- Parking permits

NOTE: Agencies must offer any records created prior to January 1, 1939 to NARA before applying this disposition authority.

DISPOSITION: Temporary. Cut off and destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner.

AUTHORITY: GRS 5.6, item 130 (DAA-GRS-2021-0001-0006)

PRIVACY ACT: Not Applicable

FILE NUMBER: 215-04 – RESCINDED per GRS Transmittal 26

RECORDS CATEGORY: 216 – Moved to 1808

RECORDS CATEGORY: 217

CATEGORY TITLE: Pentagon Force Protection Agency

CATEGORY DESCRIPTION: These are files that document police operations at PFFA offices. These are operational files and their use does not prevent the use of any other administrative, logistical, fiscal, or personnel file authorized elsewhere in this Instruction.

FILE NUMBER: 217-01

FILE TITLE: Staff Inspection Records

FILE DESCRIPTION: Records of staff, general, spot, special inspections, and guard contracts.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 1

PRIVACY ACT: Not Applicable



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FILE NUMBER: 217-02

FILE TITLE: Line Inspection Records

FILE DESCRIPTION: Line and quarterly line inspections and completed checklists.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.

AUTHORITY: N1-330-88-002, item 2

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-03

FILE TITLE: Field Office Inspections

FILE DESCRIPTION: Documents prepared by the staff inspector from surveys, inspections, or evaluations of PFFA operations to promote coordination, detect problems, ensure compliance with operating procedures, policies, schedules, and orders. Included are the staff inspector's reports, area commanders' replies, and related reports. **NOTE:** Inspection reports on contracts are excluded from this file.

DISPOSITION: Temporary. Cut off after completion of inspection. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 3

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-04

FILE TITLE: Safety Agreement Files

FILE DESCRIPTION: Documents on accident and fire prevention, disaster control, or civil defense. Included are proposals, coordination actions, copies of agreements, and related records.

DISPOSITION: Temporary. Cut off when superseded or terminated. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 4

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-05

FILE TITLE: Safety Meetings Files

FILE DESCRIPTION: Documents on accident and fire prevention meetings, protection meetings, or comparable group meetings.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.

AUTHORITY: N1-330-88-002, item 5

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-06

FILE TITLE: Safety, Occupational Health, and Fire Prevention Council Files

FILE DESCRIPTION: Documents reflecting deliberations and activities of field office councils on safety, occupational health, and fire prevention. Included are listings of members, agenda, minutes, copies of program documents of schedules and related records.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 6

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-07

FILE TITLE: Fire Report Files



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FILE DESCRIPTION: Documents concerning fires on DoD-owned or leased premises, or other property that the Department of Defense is accountable. Included are fire reports, investigative reports, ad hoc committee investigations of serious fires, and related records.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: N1-330-88-002, item 7

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-08

FILE TITLE: Accident and Fire Prevention Promotion Files

FILE DESCRIPTION: Documents resulting from efforts to stimulate supervisory and employee interest in accident and fire prevention. Included are charts, and other materials used in publicizing safety achievements and special events.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 8

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-09

FILE TITLE: Disaster and Civil Defense Status Report Files

FILE DESCRIPTION: Reports and records showing the self-protection, shelter, stocking, radiological training, and preparedness of Government buildings against enemy attack, natural disaster, and other emergencies.

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.

AUTHORITY: N1-330-88-002, item 9

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-10.1

FILE TITLE: Security Log Files – Recording Tape of Radio Transmissions

FILE DESCRIPTION: Logs kept when used to record radio transmissions.

DISPOSITION: Temporary. Cut off after 30 days, extract information needed for further reference, re-record, and destroy when no longer needed.

AUTHORITY: N1-330-88-002, item 10a

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-10.2

FILE TITLE: Security Log Files – All Other Logs

FILE DESCRIPTION: Logs kept when recorder tapes are changed; records recording opening and closing of secured cabinets and safes; log books containing alarm system codes for various buildings; and tapes maintained to provide a record of alarms and authorized entry into buildings after duty hours.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 10b

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-11

FILE TITLE: Physical Security Surveys



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FILE DESCRIPTION: Documents on the physical security hazards or deficiencies and recommendations for remedial action. Included are: survey reports, facility and occupant data, threats, and findings and recommendations.

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

AUTHORITY: N1-330-88-002, item 11

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-12

FILE TITLE: Federal Radio Frequency Management Program

FILE DESCRIPTION: Documents on the policies, rules, and regulations governing the allocation of radio frequencies. These consist of the following files:

1. Frequency Assignment Subcommittee (FAS). Included are applications for frequency assignments, modifications, corrections, and the 5-year review; regional requests for action; regional frequency authorizations; Government master file; and administrative agenda and minutes.
2. Inter-department Radio Advisory Committee. Included are National Telecommunications and Information Administration Manual and the weekly agenda and summary of minutes.

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

AUTHORITY: N1-330-88-002, item 12

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 217-12.1, 217-12.2

FILE NUMBER: 217-12.2 – Consolidated into 217-12

FILE NUMBER: 217-12.2 – Consolidated into 217-12

FILE NUMBER: 217-13

FILE TITLE: Telecommunications Program

FILE DESCRIPTION: These records consist of the following files:

1. Control Center. Documents on the design, installation, and maintenance of telecommunications equipment used in the zone, district, and regional control center.
2. National Crime and Information Center (NCIC). Documents such as the NCIC Operating Manual, Code Manual, Update, and Newsletter; control terminal officer assignments; and originating Agency identifier applications.
3. National Law Enforcement Telecommunications Systems (NLETS). Documents such as the NLETS Operating Manual, Code Manual, Update, and Newsletter.

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

AUTHORITY: N1-330-88-002, item 13

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 217-13.1, 217-13.2, 217-13.3

FILE NUMBER: 217-13.1 – Consolidated into 217-13

FILE NUMBER: 217-13.2 – Consolidated into 217-13

FILE NUMBER: 217-13.3 – Consolidated into 217-13



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FILE NUMBER: 217-14

FILE TITLE: Occupant Letters Files

FILE DESCRIPTION: Letters from occupants of DoD-owned or leased space that has a PFFA protection and safety response. They contain correspondence on safety systems, crime, protection, parking, and related records.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.

AUTHORITY: N1-330-88-002, item 14

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-15

FILE TITLE: Firearm and Badge Record Files

FILE DESCRIPTION: Card files of employees issued firearms and badges. This file is organized by employee name and serial number of equipment.

DISPOSITION: Temporary. Cut off and destroy name card files when employee leaves position and equipment is turned in. Cut off and update Serial Number card as equipment is reassigned.

AUTHORITY: N1-330-88-002, item 15

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-16

FILE TITLE: Assignment Record Files

FILE DESCRIPTION: Documents reflecting tour of duty schedule, days off, and post assignments for Defense Protective Officer's (DPOs) and contract guards. Records include forms recording hours of duty schedule and related documents.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: N1-330-88-002, item 16

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-17

FILE TITLE: Special Operating Procedures Files

FILE DESCRIPTION: Staff and supervisory Defense Protective Officers (DPOs) may issue their rules and regulations to DPOs for guidance during the performance of individual duties.

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

AUTHORITY: N1-330-88-002, item 17

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-18

FILE TITLE: Flag Records

FILE DESCRIPTION: Documents on regulations, proclamations and notices to fly the flag at half staff. Included are requests on the notification list, proclamations, and related records.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.

AUTHORITY: N1-330-88-002, item 18

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-19

FILE TITLE: Record of Time of Arrival and Departure



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FILE DESCRIPTION: Documents reflecting entry and exit from buildings (during security hours) files. Register used to record the time of arrival, departure, destination of personnel packages, visitors and vehicles entering or leaving premises. Included are forms recording times of arrivals and departures; these forms are also used by supervisory Defense Protective Officers (DPOs) when conducting inspection. Forms used by contract guards should be filed under 217-26, Contract Guard Records.

DISPOSITION: Temporary. Cut off annually. Destroy 4 years after cutoff.

AUTHORITY: N1-330-88-002, item 19

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-20

FILE TITLE: Lost and Found Property Files

FILE DESCRIPTION: Documents on the reporting, receiving, accounting for and disposing of lost and found property.

DISPOSITION: Temporary. For found property, cut off and destroy cards and tags when property is restored to its owner. All other records: Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: N1-330-88-002, item 20

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-21

FILE TITLE: Physical Evidence Files

FILE DESCRIPTION: Documents on the preservation and accountability of physical evidence.

DISPOSITION: Temporary. Cut off when property is returned to owner or disposed. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 21

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-22

FILE TITLE: Evidence Log Files

FILE DESCRIPTION: Log books or registers of physical evidence obtained during the investigation of crimes.

DISPOSITION: Temporary. Cut off when all property has been returned to owner or otherwise disposed. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 22

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-23

FILE TITLE: Report of Excess Personal Property Files

FILE DESCRIPTION: Included are forms used when accounting for the disposal of lost, abandoned, unclaimed, or excess Government or personal property.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: N1-330-88-002, item 23

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-24

FILE TITLE: Security Uniform and Equipment Tracking Files



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FILE DESCRIPTION: Records tracking uniforms and equipment issued to Defense Protective Officers (DPOs) / security personnel, including:

- Firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.)
- Communication Devices issued to security personnel such as mobile radios and walkie-talkies
- Body armor such as bullet-proof vests
- Police baton and holder
- Handcuffs and keys

DISPOSITION: Temporary. Cut off when employee returns equipment. Destroy 6 months after cutoff.

AUTHORITY: GRS 5.6, item 030 (DAA-GRS-2021-0001-0002)

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-25

FILE TITLE: Defense Protective Officer (DPO) Log Files

FILE DESCRIPTION: Included are:

- Security Logs, which are records of notices to Agencies on a security or energy violation found by PFPA; e.g., open safes, open security areas.
- Report Logs, or log books on the number assigned to reports written by PFPA units.
- Ticket Logs, or log books of traffic tickets issued.
- Ticket Log on thefts, or log books on stop-theft tickets issued.
- Mobile Reports, or forms used by PFPA mobile units as checklists showing the times that a facility was checked.
- Code 44, or records on transport of prisoners, bank escorts, etc.
- Activity Logs, or logs documenting daily activities at guard posts.
- Building logs, or monthly logs of daily activities within buildings; included are copies of activity log forms.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 25

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-26

FILE TITLE: Contract Guard Record Files

FILE DESCRIPTION: Records dealing with all aspects of PFPA. Included is information on guards, firearms, qualifications training certification, sign-in and -out sheets, technical manager and monitor inspections and related records.

DISPOSITION: Temporary. Cut off at expiration of contract. Destroy 6 years and 3 months after cutoff.

AUTHORITY: N1-330-88-002, item 26

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-27

FILE TITLE: Special Protection Measures Files

FILE DESCRIPTION: Documents accumulated covering physical security measures planned and taken to protect Very Important Persons visiting DoD-controlled facilities.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 27



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PRIVACY ACT: Not Applicable

FILE NUMBER: 217-28

FILE TITLE: Crime Prevention Assessment Files

FILE DESCRIPTION: Documents accumulated from conducting assessments and inspections to evaluate physical protection services, facilities, equipment, and activities. Included are checklists, assessment forms and recommendations, reports, corrective and follow-up actions, and related records.

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

AUTHORITY: N1-330-88-002, item 28

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-29

FILE TITLE: Crime Prevention Program Files

FILE DESCRIPTION: Correspondence forms from the Crime Prevention Unit. Included are questionnaires, bulletins, notices, and related records.

DISPOSITION: Temporary. Cut off and destroy when obsolete or no longer needed for reference.

AUTHORITY: N1-330-88-002, item 29

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-30

FILE TITLE: Law Enforcement Agreement Files

FILE DESCRIPTION: Copies of Agreements and related records on the relationships between, responsibilities of, and actions to be taken by protection officers, groups, and law enforcement officials.

DISPOSITION: Temporary. Cut off when agreement expires or is terminated. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 30

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-31

FILE TITLE: Reimbursable Work Authorization Files

FILE DESCRIPTION: Records include GSA Form 2957, "Reimbursable Work Authorization," from Agencies to request that GSA perform work on a reimbursable basis. This form authorizes the work, controls the amount of work performed, and the dollar value. Included are backup estimates and requests for changes, bills, purchase orders, travel documents, and related records.

DISPOSITION: Temporary. Cut off annually or on completion of work. Destroy 1 year after cutoff.

AUTHORITY: N1-330-88-002, item 31

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-32

FILE TITLE: Staff Hours Distribution Files

FILE DESCRIPTION: Records of staff hours spent by craft employees on any activity or assignment. Included are daily time reports, time sheets, time summaries, and related records.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.

AUTHORITY: N1-330-88-002, item 32

PRIVACY ACT: Not Applicable



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FILE NUMBER: 217-33

FILE TITLE: Training Record Files

FILE DESCRIPTION: Documents on the continuing program of providing training for uniformed and other PFFA personnel in the field including programmed training, sight and sound packages, and instructions by supervisory officers. Included are course curriculums, qualification records, schedules, rosters, training bulletins, and related records.

DISPOSITION: Temporary. Cut off after completion of specific training program. Destroy 5 years after cutoff.

AUTHORITY: N1-330-88-002, item 33

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-33.2 – RESCINDED (per GRS Transmittal 23)

FILE NUMBER: 217-34

FILE TITLE: FPS Academy Records

FILE DESCRIPTION: Documents on training of students at FPS Academy. Included are curriculums, schedules, rosters testing records, attendance records, firearm training and certification, and training aids.

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.

AUTHORITY: N1-330-88-002, item 34

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-35

FILE TITLE: Firearms Files

FILE DESCRIPTION: Documents on firearms and firing ranges.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.

AUTHORITY: N1-330-88-002, item 35

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-36.1a – Moved to 217-36

FILE NUMBER: 217-36.1b – Moved into 217-37

FILE NUMBER: 217-36.2 – Consolidated into 202-08.1 or 202-08.2, as applicable

FILE NUMBER: 217-36.3 – Moved into 217-38

FILE NUMBER: 217-36

FILE TITLE: Incident Reporting and Investigative Case Files – Non-Criminal Incidents

FILE DESCRIPTION: Non-criminal activity reports related to specific incidents concerning facility problems, property damage, fire drills, and similar matters maintained from the opening of a case until case closure. May include information on sources and evidence, information on non-criminal matters (such as internal affairs investigations, incidents where investigators and police officers are requested to assist the public in emergencies, etc.), and information collected on the following Secretary of Defense (SD) forms (or their successors): SD 541 "Complaint Record;" SD 545 "Incident Report;" SD 545-1 "Interview Sheet;" SD 542 "Accident Report;" and all narrative information related to cases under investigation.

DISPOSITION: Temporary. Cut off and place in inactive file upon case closure. Review files at least once a year. Destroy all files at least 1 year after cutoff.



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AUTHORITY: N1-330-92-007, item 1a

PRIVACY ACT: DWHSP 420

FORMER FILE NUMBER: 217-36.1a

FILE NUMBER: 217-37

FILE TITLE: Incident Reporting and Investigative Case Files – Criminal Incidents

FILE DESCRIPTION: Criminal activity reports related to specific incidents concerning facility problems, property damage, fire drills, and similar matters as well as preliminary and other reports of criminal investigations maintained from the opening of a case until case closure. May include information on sources and evidence, information on non-criminal matters (such as internal affairs investigations, incidents where investigators and police officers are requested to assist the public in emergencies, etc.), and information collected on the following Secretary of Defense (SD) forms (or their successors): SD 541 "Complaint Record;" SD 545 "Incident Report;" SD 545-1 "Interview Sheet;" SD 542 "Accident Report;" SD 550 "Arrest Report;" SD 547 "Defendant/Suspect Statement;" and all narrative information related to cases under investigation.

DISPOSITION: Temporary. Cut off when case is closed. Destroy 15 years after cutoff.

AUTHORITY: N1-330-92-007, item 1b

PRIVACY ACT: DWHSP 420

FORMER FILE NUMBER: 217-36.1b

FILE NUMBER: 217-38

FILE TITLE: Incident Reporting and Investigative Case Files – Contingency Planning and Analysis Files

FILE DESCRIPTION: Contingency planning and analysis files pertaining to regional, nationwide, and worldwide terrorist organizations and their potential effects on the security of DoD facilities. These files contain intelligence briefs; tactical, operational and strategical information reports; regional and nationwide contingency analyses; contingency action plans; and information on patterns and trends of potential or actual terrorists or terrorist groups and other activities that could disrupt the orderly operations of DoD-owned or -controlled facilities over which PFPA has jurisdiction.

DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed.

AUTHORITY: N1-330-92-007, item 2

PRIVACY ACT: DWHSP 420

FORMER FILE NUMBER: 217-36.3

FILE NUMBER: 217-39

FILE TITLE: Pentagon and Pentagon Reservation Project Files

FILE DESCRIPTION: PFPA files relating to the Pentagon and Pentagon Reservation. Records include, but are not limited to, force protection projects dealing with

- Access Control
- Intrusion Detection
- Passive/active barriers
- Surveillance Systems,
- Including chemical, biological, radiological, and explosive protection systems
- Contracts, cost estimates, budget requests, budget estimates and Program Objective Memoranda (POM)



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DISPOSITION: Temporary. Cut off upon completion of project. Destroy 25 years after cutoff.

AUTHORITY: N1-330-10-004, item 1

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-40

FILE TITLE: Other DoD Buildings and Facilities Project Files

FILE DESCRIPTION: PFPA files relating to DoD buildings and facilities within the NCR. Records include, but are not limited to, force protection projects dealing with

- Access Control
- Intrusion Detection
- Passive/active barriers
- Surveillance Systems,
- Including chemical, biological, radiological, and explosive protection systems
- Contracts, cost estimates, budget requests, budget estimates and Program Objective Memoranda (POM)

DISPOSITION: Temporary. Cut off upon completion of project; destroy 15 years after cutoff.

AUTHORITY: N1-330-10-004, item 2

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-41

FILE TITLE: Operation and Maintenance Records

FILE DESCRIPTION: PFPA operation and maintenance records for the Pentagon, Pentagon Reservation, and other DoD buildings and facilities within the NCR. Files relate to the operation and maintenance of Force Protection measures for buildings leased or owned by DoD within the National Capitol Region including the Pentagon and Pentagon Reservation. Records include, but are not limited to

- Maintenance contracts
- Equipment Reports
- Preventive/corrective maintenance programs
- Authorized construction
- Alterations
- Repair records

DISPOSITION: Temporary. Cut off annually. Destroy 6 years and 3 months after cutoff.

AUTHORITY: N1-330-10-004, item 3

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-42

FILE TITLE: Tow Appeal Records

FILE DESCRIPTION: Records of traffic proceedings concerning vehicles ticketed and towed in accordance with DoD Directive 6055.4, Department of Defense Traffic Safety Program. Case files consist of towing appeals, violations, towing companies, immobilization release, warning notice, parking control, authorization search for an existing permit, and immobilization notice.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.

AUTHORITY: DAA-0330-2013-0016-0001

PRIVACY ACT: Not Applicable



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FILE NUMBER: 217-43

FILE TITLE: Firearms Identification Card (FICs)

FILE DESCRIPTION: FICs are issued by the Pentagon Force Protection Agency, acting on behalf of the Office of the Secretary of Defense, to personnel verified as a "qualified retired law enforcement officer" as defined in the Law Enforcement Officers Safety Act (LEOSA) and DoD policy. The LEOSA FIC is OSD's process (per Section 926C of Title 18, United States Code (18 USC 926C)) to validate the eligibility of qualified retired PFFA law enforcement officers applying for a LEOSA FIC, to include Defense Protective Service, or other predecessor agency law enforcement officers. These files include but are not limited to investigative material needed to determine individual meets standards established to ensure the applicant meets the requirements of a qualified retired law enforcement officer" as outlined by the DoD and statute.

DISPOSITION: Temporary. Cut off annually (at the end of the calendar year), after approval or denial. Destroy 15 years after cutoff.

AUTHORITY: DAA-0330-2016-0017-0002

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-44

FILE TITLE: Canine (K-9) Service Records

FILE DESCRIPTION: Records documenting acquisition, training, activities, care and retirement of canine partners. Includes:

- Acquisition records
- Breeder and lineage records
- Vaccination and medical history records
- Microchip number and identification records
- Deficiencies/remedies
- Training courses taken and resulting grades and certifications
- Initial report of positive detections and bite incidents
- End-of-service documentation (through retirement or death)

DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete OR cut off after dog is released from service and destroy 3 years after cutoff, whichever is shorter.

AUTHORITY: GRS 5.6, item 160 (DAA-GRS-2016-0017-0021)

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-45

FILE TITLE: Counterintelligence Management Information System (CMIS) – Foreign Nationals

FILE DESCRIPTION: Information on criminal and non-criminal incidents involving foreign nationals, used to satisfy statutory and regulatory reporting requirements. All inputs are manually keyed in by agents based on reports and interviews from individuals, victims, witnesses, incidentals, Federal Agents, Federal Law Enforcement Officers, other Law Enforcement Agencies, Intelligence Agencies, or other agencies and organizations that reside within the Pentagon reservation or leased facilities under PFFA cognizance. Files include but are not limited to:

- Law enforcement reports and special inquiries into actual, potential or suspected violations of laws, regulations, and/or directives
- Security violations and inquiries that reveal compromise, but not espionage
- Reports of subversion and espionage



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- Data elements includes but is not limited to:
 - Subject name
 - Citizenship
 - Date of Birth
 - Address
 - Description (height, weight, hair color etc.)
 - Nationality

DISPOSITION: Temporary. Cut off annually upon determination that the individual is no longer a threat to DoD, the Pentagon, Pentagon Reservation or DoD Facilities within the National Capitol Region (NCR). Destroy 25 years after cutoff.

AUTHORITY: DAA-0330-2014-0019-0001

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-46

FILE TITLE: Counterintelligence Management Information System (CMIS) – US Citizens

FILE DESCRIPTION: Information on criminal and non-criminal incidents involving US citizens, used to satisfy statutory and regulatory reporting requirements. All inputs are manually keyed in by agents based on reports and interviews from individuals, victims, witnesses, incidentals, Federal Agents, Federal Law Enforcement Officers, other Law Enforcement Agencies, Intelligence Agencies, or other agencies and organizations that reside within the Pentagon reservation or leased facilities under PFPA cognizance. Files include but are not limited to:

- Law enforcement reports and special inquiries into actual, potential or suspected violations of laws, regulations, and/or directives
- Security violations and inquiries that reveal compromise, but not espionage
- Reports of subversion and espionage
- Data elements includes but is not limited to:
 - Subject name
 - Citizenship
 - Date of Birth
 - Address
 - Description (height, weight, hair color etc.)
 - Nationality

DISPOSITION: Temporary. Cut off annually upon determination that the individual is no longer a threat to DoD, the Pentagon, Pentagon Reservation or DoD Facilities within the National Capitol Region (NCR). Destroy 90 days after cutoff.

AUTHORITY: DAA-0330-2014-0019-0002

PRIVACY ACT: TBD

FILE NUMBER: 217-47

FILE TITLE: Technical Surveillance Countermeasures Investigation Files

FILE DESCRIPTION: Files documenting technical surveillance countermeasures (TSCM) investigations, conducted to detect the presence of technical surveillance devices and hazards, and to identify technical security weaknesses of a facility. Includes documentation of the following:



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- Executive Travel Support Reports resulting from investigations during Executive Travel Support in continental United States and outside the continental United States travel. Outlines vulnerabilities discovered and mitigating actions performed when very important persons (VIPs) utilize transient facilities.
- Fixed Facility Reports resulting from investigations outlining key vulnerability findings and mitigating recommendations based on regulatory guidance and policy
- Vehicle Inspection Reports from technical security posture of vehicles used by VIPs
- Gift Inspection Reports resulting from radiological scans conducted on gifts received by VIPs from foreign dignitaries
- Results from in-place monitoring systems

DISPOSITION: Temporary. Cut off after date of last action. Destroy 20 years after cutoff.

AUTHORITY: N1-330-11-009, item 1

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 218

CATEGORY TITLE: Motor Vehicle Maintenance and Operations Files

CATEGORY DESCRIPTION: These files consist of records created by Organizational Transportation Offices, responsible for maintaining records of maintenance and operations of motor vehicles. These records consist of service logs and reports, vehicle repair and maintenance check-off sheets, costs ledgers; both hard copy and electronic, claims correspondence and related forms.

FILE NUMBER: 218-01 – Consolidated into 204-01

FILE NUMBER: 218-02

FILE TITLE: Land Vehicle and Water Vessel Inspection, Maintenance, and Service Records

FILE DESCRIPTION: Records documenting inspection, maintenance, service, and repair activities related to land vehicles and watercraft. Includes:

- Work orders, service and repair requisitions, and logs
- Descriptions of provided service and repair, and related papers

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.4, item 090 (DAA-GRS-2014-0011-0011)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 218-02, 218-03

FILE NUMBER: 218-03 – Consolidated into 218-02

FILE NUMBER: 218-04 – Consolidated into 204-01

FILE NUMBER: 218-05

FILE TITLE: Vehicle and Vessel Accident and Incident Records

FILE DESCRIPTION: Records about vehicle and vessel accidents – land, water, and air – that vehicle management offices maintain, including:

- Standard Form 91, Motor Vehicle Accident Report
- Standard Form 94, Statement of Witnesses
- Standard Form 95, Claim for Damage, Injury, or Death
- Copies of investigative reports (Originals are maintained in Investigative Case Files)

DISPOSITION: Temporary. Cut off upon closure of case. Destroy 3 years after cutoff.



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AUTHORITY: GRS 5.4, item 140 (DAA-GRS-2014-0011-0017)

PRIVACY ACT: Not Applicable

FILE NUMBER: 218-06 – Moved to 204-09

FILE NUMBER: 218-07

FILE TITLE: Vehicle and Heavy Equipment Operator Records

FILE DESCRIPTION: Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records.

DISPOSITION: Temporary. Cut off after separation of employee or after rescission of authorization to operate Government-owned vehicles or equipment, whichever is sooner. Destroy 3 years after cutoff.

AUTHORITY: GRS 5.4, item 110 (DAA-GRS-2014-0011-0014)

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 219

CATEGORY TITLE: Passport Records

CATEGORY DESCRIPTION: Records related to Official Passports issued by the Department of State to people traveling abroad to carry out official duties on behalf of the U.S. Government. **NOTE:** Use 215-01 for passport photographs and 202-23 for Annual Reports to the Department of State regarding the number of official passports issued.

FILE NUMBER: 219-01

FILE TITLE: Passport Application Records

FILE DESCRIPTION: Records relating to administering the application or renewal of official passports and visas, including:

- Copies of passport and visa applications
- Passport and visa requests
- Special invitation letters
- Visa authorization numbers
- Courier receipts
- Copies of travel authorizations

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or upon employee separation or transfer, whichever is sooner.

AUTHORITY: GRS 2.2, item 090 (DAA-GRS-2017-0007-0013)

PRIVACY ACT: Not Applicable

FILE NUMBER: 219-02

FILE TITLE: Official Passport Registers

FILE DESCRIPTION: Registers and lists of agency personnel who have official passports.

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

AUTHORITY: GRS 2.2, Item 091 (DAA-GRS-2017-0007-00014)

PRIVACY ACT: Not Applicable

FILE NUMBER: 219-03

FILE TITLE: Official Passports of Transferred or Separated Agency Personnel

FILE DESCRIPTION: Official Passports relating to personnel who have separated or transferred from the Agency.



OSD Records Disposition Schedules

DISPOSITION: Temporary. Cut off when employee transfers or separates, or when passport expires and transfer to new Agency or to the Department of State.

AUTHORITY: N/A – Filing instruction only.

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 220

CATEGORY TITLE: Historical Artifacts Gift Records

CATEGORY DESCRIPTION: Records pertaining to the Historical Artifacts Gift collection, a Department of Defense collection that receives donations and contributions from the public for exhibition.

FILE NUMBER: 220-01

FILE TITLE: Historical Artifacts Gift Agreement Files

FILE DESCRIPTION: Information relating to the offer of gifts and donation by private citizens and organizations to the DoD/OSD/Historical Artifacts Collection. Files provide a record of donations and contributions of historical properties to the Department of Defense (DoD). Documentation regarding these collections identifies the donor or donor heir's information, the status/location of the donation, and enables the DoD to establish title to the property. Records include forms, pictures, correspondence regarding offers, acceptance of offers, and related information regarding the status of the artifacts/donations.

DISPOSITION: Temporary. Cut off when all actions regarding the acceptance and location of the artifact are complete. Destroy 10 years after artifact is removed from OSD custody by donation, exchange, or return to donor. Transfer documentation which establishes title to the recipient of the artifact.

AUTHORITY: DAA-0330-2012-0006-0001

PRIVACY ACT: Not applicable

FILE NUMBER: 220-02

FILE TITLE: Historical Artifacts Rejected Gift Files

FILE DESCRIPTION: Information relating to the offer of gifts and donation by private citizens and organizations to the DoD/OSD/Historical Artifacts Collection. Files provide a record of refused offers concerning donations and contributions of historical properties to the Department of Defense (DoD). Documentation identifies the donor or donor's heirs' information. Records include forms, pictures, correspondence concerning offers, and related information.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.

AUTHORITY: DAA-0330-2012-0006-0002

PRIVACY ACT: Not applicable

RECORDS CATEGORY: 221

CATEGORY TITLE: Library Records

CATEGORY DESCRIPTION: Records pertaining to the administration and daily operations of the Pentagon Library and/or other DoD Libraries/information centers. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule does not cover nonrecord material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserved only for convenient reference, and stocks of publications and of processed documents, nor does it cover special collections, which must be scheduled separately.



OSD Records Disposition Schedules

FILE NUMBER: 221-01

FILE TITLE: Library Administrative Services

FILE DESCRIPTION: Records documenting a library's planning and management. Records may document library policies, procedures, and statistics. Includes records such as:

- Strategic plans, project plans
- Policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material
- Promotional material describing library services and resources
- Correspondence and records on library staffing and relations with other libraries
- Quick guides to library databases and resources , topical or customized reading lists, and bibliographies

NOTE: Use File Number 206-09.1 for records on purchasing licenses, subscriptions, interagency agreements, or vendor services.

DISPOSITION: Temporary. Cut off annually or when superseded or obsolete, whichever is applicable. Destroy 3 years after cutoff.

AUTHORITY: GRS 4.4, item 010 (DAA-GRS-2015-0003-0001)

PRIVACY ACT: Not applicable

FILE NUMBER: 221-02

FILE TITLE: Library Operations Records

FILE DESCRIPTION: Records documenting the daily activities of running a library. Includes:

- Reference inquiries and responses
- Correspondence and records about normal cataloging, circulation, and document delivery activities
- Visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms
- Photocopying and digitization requests

DISPOSITION: Temporary. Cut off and destroy when business use ceases.

AUTHORITY: GRS 4.4, item 020 (DAA-GRS-2015-0003-0002)

PRIVACY ACT: Not applicable

FILE NUMBER: 221-03

FILE TITLE: Interlibrary Loan (ILL) Requests

FILE DESCRIPTION: Records pertaining to operation of the Library Interlibrary loan (ILL) program. ILL is a service whereby a user of one library can borrow books or receive photocopies of materials that are owned by another library. The user makes a request with their library, which, acting as an intermediary, identifies owners of the desired item, places the request, receives the item, makes it available to the user, and arranges for its return. The lending library usually sets the due date and overdue fees of the material borrowed.

DISPOSITION: Temporary. Cut off at close of the transaction. Destroy 5 years after cutoff.

AUTHORITY: GRS 4.4, item 030 (DAA-GRS-2015-0003-0003)

PRIVACY ACT: Not applicable



OSD Records Disposition Schedules

RECORDS CATEGORY: 222**CATEGORY TITLE:** Administrative Media Relations Files**CATEGORY DESCRIPTION:** These records pertain to routine interactions with the press or media conducted by offices other than the ASTR(PA), which must use the 700 series.**FILE NUMBER:** 222-01**FILE TITLE:** Routine Media Relations Files**FILE DESCRIPTION:** Records of Interactions with the press or media that contain duplicate, minimal, or limited information, such as

- Requests and responses for interviews
- Requests and responses for information or assistance for media stories
- Daily or spot news recordings or videos available to local radio and TV stations
- Notices or announcements of media events
- Public Service Announcements
- Copies or articles created by the agency for publication in news media

Exclusion: Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item**DISPOSITION:** Temporary. Cut off and destroy when no longer needed for business use.**AUTHORITY:** GRS 6.4, item 040 (DAA-GRS-2016-0005-0004)**PRIVACY ACT:** Not Applicable**RECORDS CATEGORY:** 223**CATEGORY TITLE:** Net Assessment Records**CATEGORY DESCRIPTION:** These records pertain to the Office of Net Assessment (ONA). A net assessment is an analysis of the military balance between the United States and its competitors. Net assessment is a method of analysis that synthesizes a variety of research methods and intelligence reporting at all levels of classification to identify for the Secretary of Defense and other national security senior leaders' opportunities and vulnerabilities in national defense. Net assessment products – internally produced assessments and work commissioned to external sources – yield bodies of work covering different aspects of military power, operational domains, national strategy, and tools of national power.**FILE NUMBER:** 223-01**FILE TITLE:** Net Assessment Analysis Records**FILE DESCRIPTION:** Records and information documenting current and projected U.S. and foreign military capabilities by theater, region, domain, function, or mission, created to provide DoD executive management, Congress and POTUS with studies, analysis, new ideas, principles, and theories, technology and techniques into strategic assessments of U.S. and foreign military capabilities. Net Assessment Analysis can be separated into 4 primary fields:

- Net Assessments: Records and information on proposals, independent research, and scenarios, numbers, and simple models used to develop net assessments of all types
- Future-Oriented War Games, Simulations, and War Gaming: Records and information on scripted and unscripted field exercises and command post exercise scenarios on the full spectrum of military activities, and internally-sponsored and administered wargames that assist ONA in developing a clear assessment of U.S. capabilities, ranging from:
 - Full-scale field-exercises, to abstract computerized models
 - Observations, analysis, map exercises
 - Heuristic or stochastic simulations, Political-military and reality based simulations



OSD Records Disposition Schedules

- Validation records (i.e., the process of testing a model by supplying it with historical data and comparing its output to the known historical result)
- DoD wide and Interagency Net Assessments Reviews and Coordination: Reviews of DoD net assessment efforts and coordination with other Federal Agencies conducting net assessments (including the Intelligence Community) for the improvement of and coordination on the development of technical, intelligence and joint military net assessments.
- ONA-commissioned, independent research: Records and information requested and received from educational, commercial, private, government and non-governmental entities, both internal and contracted, including but not limited to:
 - Think tanks
 - U.S and foreign colleges and universities
 - U.S. and foreign non-profit organizations
 - Intelligence agencies (US and Foreign)
 - Federally funded research and development centers
 - Defense analyses organizations.

DISPOSITION: Permanent. Cut off in the fiscal year when project is complete. Transfer to NARA 30 years after cutoff.

AUTHORITY: DAA-0330-2022-0009-0001

PRIVACY ACT: Not Applicable