

SERIES 200

OFFICE ADMINISTRATIVE FILES

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

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

201. ORGANIZATION PLANNING FILES

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

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

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 Cut off annually except that plans, charts, and manuals or portions thereof shall not be cut off until superseded or rescinded.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

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

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 Retire to the WNRC 5 years after being superseded.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

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

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

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

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

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

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

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

Disposition: Destroy when no longer required for reference.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Disposition: Destroy in the CFA when 5 years old.

201-15. Administrative Guidance Instruction Files. Documents on Administrative Instructions, backup, previous issues, notes, and related papers.

Disposition: Retire to the WNRC 5 years after superseded or obsolete. Destroy when 20 years old.

201-16. Administrative Services and Facilities Files. Documents on space, logistical services (telephone and supplies) layout, furnishings, building plans and services.

Disposition: Destroy 5 years after no longer current.

201-17. Organization Charter Files. Organizational Charter and Delegations of Authority. Documents that authorize and define the scope of authority, primary functions, and organizational relationships within the DoD offices or special committees.

Disposition: Permanent. Retire record copies to the WNRC 1 year after no longer current. Destroy duplicate copies when no longer needed.

201-18. Congressional Correspondence. 102-18. for proper disposition.

201-19. Chronological Reading Files. 102-16. for proper disposition.

202. OFFICE PERSONNEL FILES

The files described in this subgroup are maintained by operating officials and are used in administering military and civilian employees of the organizational segments that are under their control.

202-01. General Personnel Administrative Files

202-01.1. Files on the general administration and operation of personnel functions and including college programs, selective placement programs (persons with disabilities, veterans, and ex-offenders) programs, special careers (Summer Aid, Intergovernmental Affairs Fellowship, and Stay-in-School), examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at Agency staff planning levels.

Disposition: Destroy when 3 years old.

202-01.2. Correspondence, reports, memoranda, and other records on employment programs and functions, and manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions.

Disposition: Destroy when 5 years old.

202-02. Office Personnel Register Files. Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting personnel arrival, departure, on leave and temporary duty travel, but not official personnel registers used as direct source documents for preparing morning reports.

Disposition: Destroy after 6 months. Earlier disposal is authorized.

202-03. Visitor Control Files. Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

Disposition: a. For areas under maximum security destroy 5 years after final entry or 5 years after date of document, as appropriate. b. For other areas destroy 2 years after final entry or 2 years after date of document, as appropriate. (GRS 18, Item 17a & 17b)

202-04. Strength Reports. Reports that provide information on strength authorizations and employment. See sections 202-23. and 202-25.3.

202-05. Position Classification Files.

202-05.1. Position Classification Files.

202-05.1.1. Standards. Office of Personnel Management (OPM) standards determining title, series and grade based on duties, responsibilities, and qualifications requirements.

Disposition: Destroy when superseded or obsolete. GRS 1, Item 7a(1)

202-05.1.2. Development. Memoranda, correspondence, and other records on the development of standards for classification of positions peculiar to the Agency and OPM approval or disapproval.

202-05.1.2.1. Case File.

Disposition: Destroy 5 years after position is abolished or description is superseded. GRS 1, Item 7a(2)(a)

202-05.1.2.2. Review File.

Disposition: Destroy when 2 years old. GRS 1, Item 7a(2)(b)

202-05.2. Position Descriptions (PD)s. Files describing established positions including information on title, series, grade, duties and responsibilities.

202-05.2.1. Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

Disposition: Destroy 2 years after position is abolished or description superseded. GRS 1, Item 7b

202-05.2.2. All other copies.

Disposition: Destroy when position is abolished or description superseded.

202-05.3. Survey Files.

202-05.3.1. Classification Survey Reports. Classification survey reports on various positions prepared by classification specialists, including periodic reports such as the Annual Written Amendment and Annual Supergrade Position Reports.

Disposition: Office of origin. Destroy when 3 years old or 2 years after regular inspection, whichever is sooner. GRS 1, Item 7c(1)

202-05.3.2. Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records on inspections, surveys, desk audits, and evaluations.

Disposition: Destroy when obsolete or superseded. GRS 1, Item 7c(2)

202-05.4. Appeals Files.

202-05.4.a. Appeals Files. Case files on classification appeals, excluding OPM Classification certificate.

Disposition: Destroy 3 years after case is closed. GRS 1, Item 7d(1)

202-05.4.b. Certificates. Certificates of classification issued by OPM.

Disposition: Destroy after affected position is abolished or superseded. GRS 1, Item 7d(2)

202-06. Pending Request Files. Suspense copies of SF 52, "Request for Personnel Action," for various categories of civilian personnel actions, such as accessions, position changes, rate of pay changes, and separations.

Disposition: Destroy on receipt of notification of completion of requested personnel action.

202-07. Office Personnel Information Files. Documents on the administration of individual civilian employees and military personnel that are duplicated in, or that are not appropriate for including in the official personnel folder (OPF), the personnel records jacket, the PD file, or the pending request file. Included are notices that individuals have been cleared for classified material, other documents on personnel security, retained copies of reports and other papers on individual injuries, letters of appreciation and commendation, records reflecting training received by individuals, documents reflecting assigned responsibilities of individuals, copies of performance appraisals, off-duty employment information and comparable papers.

Disposition: Review at end of year and destroy documents that have been superseded or are no longer applicable.

202-08. Recruitment and Placement Files.

202-08.1. Documents on employees considered for vacancies, interviews, qualification summaries, notices of eligibility, and related material.

Disposition: Destroy after 2 years old or after OPM inspection, whichever is first.

202-08.2. Correspondence offering appointments to potential employees.

202-08.2.1. Accepted offers.

Disposition: Destroy when appointment is effective. GRS 1, Item 4a

202-08.2.2. Declined offers.

202-08.2.2.1. When name is received from certificate of eligibles.

Disposition: Return to OPM with reply and application. GRS 1, Item 4b(1)

202-08.2.2.2. Temporary or excepted appointment.

Disposition: File inside application. GRS 1, Item 4b(2)

202-08.2.2.3. All others.

Disposition: Destroy immediately. GRS 1, Item 4b(3)

202-08.3. Recruitment and Placement Files (N1-330-87-1). Applications for positions within Department of Defense Dependent Schools (DoDDS). All forms and materials required for the U.S. recruitment program and for local-hire programs, including interview results, offer letters, acceptance letters, and declination letters.

Disposition: Selectees, transfer to OPF; consideration declinations, destroy 2 months after annual cut off date (December 1); all others, destroy 2 months after annual cut off, unless applicant has indicated continued interest in the program (by the established deadline), that the case file is brought forward (may be returned to applicant if requested by the deadline).

202-09. Standards of Conduct Files. Documents on procedures to ensure that all personnel fully understand the standards of conduct and ethics. For example, procedures requiring that each individual periodically read applicable directives and sign a document indicating that the directives are understood.

Disposition: Destroy after the next periodic application or on inactivation of the office, whichever is first.

202-10. Nondisclosure Agreement and Security Awareness Files.

202-10.1. Copies of nondisclosure agreements, such as SF 312, "Classified Information Nondisclosure Agreement", signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files but may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).

Disposition: a. If maintained separately from the individual's OPF, destroy when 70 years old. GRS 18, Item 25 a. b. If maintained in the individual's OPF, apply the disposition for the OPF. GRS 18, Item 25b

202-10.2. Security Awareness Files. Documents on procedures used to obtain compliance with security regulations by all personnel. For example, procedures requiring that each individual periodically read applicable security regulations and sign a memorandum indicating that the regulations are understood.

Disposition: Destroy after the next periodic application or on inactivation of the office, whichever is first.

202-11. Temporary Duty Travel Files. Copies or requests and authorizations for military personnel tour duty (TDY) travel and civilian personnel TDY and permanent change of station (PCS) travel, similar issuances, and related documents on travel.

Disposition: Destroy when 6 years old. GRS 9, Item 3(a)

202-12. Official Personnel Folders.

202-12.1. Transferred employees. Records maintained on the right side of the OPF.

Disposition: See Federal Personnel Manual (FPM) for Supplement 293-31, Subchapter S4 for instructions on employees folders transferred to another Agency. GRS 1, Item 1

202-12.2. Separated employees. Records maintained on the right side of the OPF.

Disposition: Transfer folder to: National Archives and Records Administration, National Personnel Records Center (NPRC), 111 Winnebago Street, St. Louis, MO 63118, 30-120 days after separation. NPRC shall destroy 65 years after separation from Federal service. GRS 1, Item 1b

202-12.3. Temporary Individual Employee Records. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records. GRS 1, Item 10a

Disposition: Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See FN 202-12.4 for disposition of I-9 Forms and item 202-12.5 of this schedule for disposition of temporary performance-related records.

202-12.4. Immigration and Naturalization Service Form I-9. Form is maintained on the left side of the Official Personnel Folder. GRS 1, Item 10b

Disposition: Destroy 3 years after employee separates from service or transfers to another agency.

202-12.5. Employee Performance File System Records. Records maintained on the left side of the Official Personnel Folder. GRS 1, Item 23

202-12.5.1. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).

202-12.5.1. 1. Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents.

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

202-12.5.1.2. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Disposition: Destroy when superseded.

202-12.5.1.3. Performance-related records pertaining to a former employee.

202-12.5.1.4. Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating. Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see FN 202-12.2.). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 202-12.5.1.5. of this schedule.

202-12.5.1.5. All other performance plans and ratings.

Disposition: Destroy when 4 years old.

202-12.5.1.6 All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based, to include supporting documents.

Disposition: Destroy when 4 years old.

202-12.5.2. SES appointees (as defined in 5 U.S.C. 3132a(2)).
[Performance records pertaining to Presidential appointees are not covered such records must be scheduled by submitting an SF 115 to NARA.]

202-12.5.2.1. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Disposition: Destroy when superseded.

202-12.5.2.2. Performance-related records pertaining to a former SES appointee.

202-12.5.2.2.1. Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Disposition: Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see FN 202-12.2.). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule.

202-12.5.2.2. All other performance ratings and plans.

Disposition: Destroy when 5 years old.

202-12.5.2.3. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

Disposition: Destroy 5 years after date of appraisal.

202-13. Survey Files. See 202-05.3.

202-14. Application Files (SF 171). Unsuccessful applications for appointment and related papers, excluding records on appointments requiring Senatorial confirmation, and applications filed in official personnel folders. File in accordance with inspection requirements of the FPM.

Disposition: Destroy upon receipt of OPM report of inspection or when 2 years old, whichever is earlier, providing requirements of Chapter 33, Section A-4 of the FPM are observed. GRS 1, Item 15

202-15. Correspondence Files.

202-15.1. Correspondence in Personnel and Security (P&S), WHS on its administration and operation.

Disposition: Destroy 3 years after file cut off. GRS 1, Item 3

202-15.2. All copies of correspondence and forms maintained as temporary records on the left side of the OPF in accordance with the FPM, Chapter 293, and Supplement 293-31.

Disposition: Destroy on transfer to another Agency (except in a transfer of functions) or separation of the employee.

202-15.3. Correspondence and forms in P&S relating to individual employees that are not authorized for maintenance in the OPF and not covered elsewhere in this schedule.

202-15.3.1. Correspondence and forms on pending personnel actions.

Disposition: Destroy when action is completed. GRS 1, Item 17a(1)

202-15.3.2. General correspondence and forms including retention registers from which reduction-in-force actions have been taken.

Disposition: Destroy 2 years after file is closed. GRS 1, Item 17b(1)

202-15.3.3. Retention registers from which no actions have been taken.

Disposition: Destroy when superseded or obsolete. GRS 1, Item 17b(2)

202-16. Service Record Card Files (SF 7 or its equivalent).

202-16.1. Cards for employees separated on or before December 31, 1947.

Disposition: Transfer to NPRC (CPR) St. Louis, MO 63118; destroy 60 years after earliest personnel action. GRS 1, Item 2(a)

202-16.2. Cards for employees separated or transferred on or after January 1, 1948, in accordance with FPM Supplement 293-31.

Disposition: Destroy 3 years after year of employee's separation or transfer to another Agency. GRS 1, Item 2(b)

202-17. Individual Volunteer Files (NI-330-98-1). Files include Volunteer Agreement form, Parental Permission form for minors wishing to volunteer, hours worked as a volunteer, and other records pertaining to the service of an individual volunteer. Records are maintained by the organizations within OSD using the services of volunteers. (Privacy Act Systems Notice OPM/GOVT-1)

Disposition: Cut off when volunteer departs program. Destroy 4 years after cut off.

202-18. PDs and Related Material Files.

202-18.1. Record copy of position descriptions that include information on title, series, grade, duties, responsibilities, and related documents.

Disposition: 202-05.2.1.

202-18.2. Survey Files.

Disposition: 202-05.3.

202-18.3. Appeals files. Case files on classification appeals.

Disposition: 202-05.4.

202-19. Certificate of Eligibility Files.

202-19.1. Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Disposition: Destroy when 2 years old. GRS 1, Item 5

202-19.2. Certificate of Eligibility Files (NC1 330-87-1). Case files on educators in the DoDDS system including certificates of DoDDS certification, college transcripts, other supporting documents. Also included are correspondence and memos and other material on each teacher.

Disposition: Destroy 1 year after educator no longer employed by DoDDS. Educators participating in the DoDDS Administrative Reemployment Rights (ARR) program, hold until return to active employment, then consolidate with active files for that year.

202-20. Suggestion and Superior Accomplishment Awards Files.

202-20.1. Employee suggestion case files including files on management improvement suggestions considered under various legislation.

Disposition: Retire 1 year after cut off for retention of: a. the original case file for an additional 5 years, and b. the duplicate copies for an additional 2 years.

202-20.2. Case files on rewards for superior accomplishments.

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

202-20.3. Certificates of performance ratings.

Disposition: Destroy 2 years after cut off.

202-21. Efficiency Rating Files. Duplicate copies of material on a review of an efficiency rating by a board on which the original case material has been forwarded to the OPM.

Disposition: Cut off annually. Destroy 1 year after file cut off.

202-22. Notification of Personnel Action Files.

202-22.1. Chronological file copies of notification of personnel actions, including fact sheets.

Disposition: Destroy when 2 years old. FPM Supplement 293-31. GRS 1, Item 14(a)

202-22.2. Pay or fiscal copy.

Disposition: Destroy 2 years after audit of related pay records by the GAO.

202-22.3. All others.

Disposition: Destroy when 1 year old, providing the requirements of FPM Supplement 293-31 are observed.

202-22.4. DoDDS Inter-Intraregional and/or Transfer and Reassignment File (NC1-330-87-1). Applications, reports, memos, correspondence on the reassignment of personnel between and among regions through the DoDDS Interregional transfer and/or Intraregional Reassignment Programs.

Disposition: Cut off annually. Destroy 1 year after cut off.

202-22.5. Educator Career Program. Applications, reports, memos, correspondence on the lateral transfer and opportunities for promotion of DoDDS personnel afforded by the DoDDS Educator Career Program.

Disposition: Cut off annually. Destroy 1 year after cut off.

202-23. Personnel Statistical Reports Files.

202-23.1. Statistical reports maintained or prepared by offices other than P&S.

Disposition: Destroy 2 years after cut off.

202-23.2. Statistical summaries and reports on employee health and related papers, exclusive of the copy maintained by the reporting unit.

Disposition: Destroy 2 years after cut off.

202-24. Policy and Procedure Record Material Files. Documentation of policies, procedures, and standards governing civilian personnel administration.

Disposition: Permanent. Retire file to the WNRC 1 year after file cut off. Transfer to National Archives when 25 years old.

202-25. Civilian Manpower and Personnel Records Files.

202-25.1. Records that relate to the development and implementation of policies, procedures, and standards for civilian personnel management and studies, surveys or other material that relate to National Manpower Administration that is of interest to the Department of Defense.

Disposition: Permanent. Retire record copies and all backup material to the WNRC 1 year after implementation of the policy, procedures or standards. Transfer to the National Archives after 20 years. Destroy duplicate and reproduced copies when the policy, standard, or procedure is rescinded or revised, unless part of a case file.

202-25.2. Records that relate to the internal management and operational aspects of civilian personnel administration, such as records on the control of positions, determinations, and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded, and reporting records covering civilian personnel strength not covered under other items in this section.

Disposition: Destroy when 5 years old.

202-25.3. Records that support reports and other statistical data required by law or regulation such as percentages or minorities, statistics or progress achieved in implementation of equal employment opportunity (EEO) program, grade distribution and the like.

Disposition: Permanent. Retire record copies supporting related data to the WNRC 2 years after file cut off. Transfer to National Archives after 20 years old. Destroy all duplicate and non-record material 6 months after file cut off unless part of case file.

202-26. Department of Defense Civilian Employees Health Unit and Employee Medical Folder (EMF) Records.

202-26.1. Health Unit Records. These records contain forms, correspondence, and other records on an employee's medical history, occupational injuries or diseases, physical examinations, and all other treatment received in health units. Included are industrial hygiene consultations, laboratory and X-ray findings, reports of pulmonary function tests, audiograms, records tests, and chemical hazards, clinical record cover sheets or equivalent.

Disposition: Retire records of civilian employees who are separated from the National Personnel Records at the end of each calendar year. Destroy 30 years later (See note 3 below). NC1-330-81-7.

Notes:

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

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

3. Longer retention periods may be required by Regulatory Agencies such as: Occupational Safety and Health Administration (OSHA), Nuclear Regulatory Commission (10 CFR, Part 20), and Environmental Protection Agency (EPA). In this event, a new SF-115 must be submitted.

4. Employee Medical Folders. These files consist of long-term medical records as defined in the FPM 293-31.

Disposition: a. For transferred employees, see the FPM for instructions. b. For separated employees, transfer to the NPRC 30 days after separation. The NPRC shall destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is latest. GRS 1, Item 21a(2) c. Temporary or short-term records as defined in the FPM, destroy 1 year after separation or transfer of the employee. GRS 1, Item 21b d. Individual Employee Health Case Files created before establishment of the EMF system that have been retired to an FRC, destroy 60 years after retirement. GRS 1, Item 21c

202-27. Military Personnel. Official Military Personnel Records created as the result of detail or assignment to the OSD that normally would be made a part of the individual's personnel file and other pertinent and related correspondence. Orders and citations for the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, and OSD Identification Badge.

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

202-28. Military Manpower and Personnel Records Files.

202-28.1. Records on the development and implementation of policies, procedures, and standards for military personnel management and studies, surveys, or other material that relate to National Manpower Administration that is of interest to the Department of Defense.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete as appropriate for documents maintained in accordance with series 103-01.

202-28.2. OSD manpower authorizations, justification folders for new positions or deletions; control over grade requirements. (These are not individual personnel files.)

Disposition: Retire to the WNRC 1 year after no longer current. Destroy when 30 years old.

202-28.3. Policy matters on the OSD Identification Badge.

Disposition: Destroy 3 years after superseded.

202-28.4. Records that relate to the internal management and operational aspects or military personnel administration, such as records on position control; determinations and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded; and other reporting records covering military personnel strengths that are not covered under other items in this Instruction.

Disposition: Retire record copies to the WNRC 1 year after cut off. Destroy when 25 years old. Destroy duplicate and non-record material 6 months after cut off unless part of a case file.

202-28.5. Records that support reports and other statistical data required by law or regulation.

Disposition: a. Permanent. Retire record copies and supporting or relating data to the WNRC 2 years after cut off. Transfer to the National Archives when 20 years old. b. Destroy duplicate and non-record material 6 months after cut off.

202-29. Individual Accounting Files. Records that relate to accounting for individuals.

Disposition: Destroy individual leave authorization when adjustments are made.

202-30. Military Leave Files. Records that relate to leave of military personnel.

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

202-31. Individual Actions Files. Correspondence on individual actions about personnel, that do not qualify as records of permanent value; records of criticism or complaint when no official action is taken.

Disposition: Destroy file 6 months after individual is released from OSD duty.

202-32. Statistical Reports File.

202-32.1. Statistical reports maintained or prepared by offices other than P&S on military personnel matters.

Disposition: Destroy when 2 years old.

202-32.2. Records submitted by the Military Departments supporting reports, policy statements, standardized procedures, criteria, and other matters on the overall administration of military personnel.

Disposition: Permanent. Retire to the WNRC when 5 years old.

202-33. Policy and Procedure Records Files - Military Personnel.

202-33.1. Statistical summaries and reports on military personnel training, including outlines of the course, names of individuals attending, copies of speeches, lecture material, required reading material and all other material relating to educational programs conducted by the OSD independently of the Military Departments.

Disposition: Permanent. Statistical summaries and reports. Transfer record copies to the WNRC when course is revised or discontinued. Transfer to National Archives when 20 years old. Destroy other materials when it becomes obsolete.

202-33.2. Documentation of policies, procedures and standards governing military personnel administration, including position evaluation and assignment, and military personnel quotas for both normal and mobilization periods.

Disposition: Permanent. Transfer discontinued file to the WNRC when 1 year old. Transfer to the National Archives when 20 years old. Destroy duplicate copies when superseded or revised unless part of a case file.

202-34. Internal Management Files. Correspondence on internal management and operations affecting military personnel administration.

Disposition: Destroy material when 5 years.

202-35. Military Awards. Official record copies of awards approved by the Secretary of Defense for presentations such as the Defense Distinguished Service Medal, Joint Service Commendation Medal, and comparable awards.

Disposition: Retire OSD official documents to the WNRC 3 years after cut off. Destroy when 15 years old. See 202-28 for disposition of copies of awards to individual Military Services.

202-36. Military Acceptance Files. Records on the establishment of policy, standards, and criteria governing admission and acceptance for military service and means of obtaining individuals in critical skills areas, including pay benefits, allowance, and other associated matters.

Disposition: Permanent. Retire to the WNRC 2 years after file cut off. Transfer to National Archives when 20 years old. Destroy duplicate and non-record material 6 months after cut off.

202-37. Labor Management Relations Records.

202-37.1. Labor Management Relations and Case Files. Correspondence, memoranda, reports, and other records on the relationship between management and employee unions or other groups.

202-37.1.1. Office negotiating agreement.

Disposition: Destroy when 5 years old. GRS 1, Item 28a(1)

202-37.1.2. Other offices.

Disposition: Destroy when superseded or obsolete. GRS 1, Item 28a(2)

202-37.2. Labor Arbitration General and Case Files. Correspondence, forms, and background papers on labor arbitration cases.

Disposition: Destroy 5 years after resolution of case. GRS 1, Item 28b

202-38. Labor Management Relations Files. See 1802-02 for the DoD files on the subject.

202-39. Security Policies Application. Documents concerning general information applicable to personnel security. Security of classified matter in the personnel office and related material.

Disposition: Destroy when no longer current.

202-40. Personnel Security Clearance Files. Relates to the administration of the personnel security program involving clearances of civilian employees, applicants for employment, consultants, contractors and military personnel.

202-40.1. Case files created on civilian personnel, consultants, and applicants for employment, containing requests for security clearances, copies of documents accumulated as a result of creating, controlling, requesting and transmitting investigative dossiers and clearance certifications between various investigative and clearance-granting Agencies, briefings and/or debriefings, routine requests for information, tracer letters, transmittal letters, lists or letters reflecting security clearance of individuals.

Disposition: Inactivate file when employee leaves the Agency; retain in files storage area and destroy after 2 years.

202-40.2. Summaries of reports of investigation relating to cases where serious derogatory information is involved, including documents reflecting actions taken and copies of documents similar to those described in 202.40.1.

Disposition: Retain in files storage area and destroy 5 years after date of clearance determination.

202-40.3. Case files created on individuals for whom WHS has no clearance granting authority, i.e., military and contractor personnel, containing letters of transmittal, miscellaneous correspondence, verification of clearances granted by the appropriate Military Department or Defense Industrial Security Clearance Office, briefings and/or debriefings.

Disposition: Destroy military personnel case files when individual leaves WHS. Destroy contractor case files when notification of Sensitive Compartmented Information access approval by Defense Intelligence Agency. (Investigative reports shall be destroyed in accordance with regulations established by each investigative Agency.)

202-41. Special Assignments. Documents containing information on the security clearance and authorization for access to particularly sensitive classified matter. Not including reports of investigation, counterintelligence, or clearance documents filed in the official personnel folder.

Disposition: Destroy on transfer or separation of individual concerned.

202-42. Statements of employment and financial interests, and related papers.

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

202-43. Equal Employment Opportunity Records. Official Discrimination Complaint Case Files. OSD file containing complaints with related correspondence, reports exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 29 CFR 1613.222.

202-43.1. Cases resolved within the Agency by the Equal Employment Opportunity Commission (EEOC), or by a U.S. Court.

Disposition: Destroy 4 years after resolution of case. GRS 1, Item 25a

202-43.2. Copies of Complaint Case Files. Duplicate case files or documents on case files retained in Official File Discrimination Complaint Case File.

Disposition: Destroy 1 year after resolution of case.

202-43.3. Background Files. Background records not filed in the Official Discrimination Complaint Case File.

Disposition: Destroy 2 years after final resolution of case. GRS 1, Item 25c(1)

202-43.4. Compliance Records.

202-43.4.1. Compliance Review Files. Reviews, background papers and correspondence on contractor employment practices.

Disposition: Destroy when 7 years old. GRS 1, Item 25d(1)

202-43.4.2. EEO Compliance Reports.

Disposition: Destroy when 3 years old. GRS 1, Item 25d(2)

202-43.5. Employee Housing Requests. Forms requesting Agency assistance in housing matters, such as rental or purchase.

Disposition: Destroy when 1 year old. GRS 1, Item 25e

202-43.6. Employment Statistics Files. Employment statistics relating to race and sex.

Disposition: Destroy when 5 years old. GRS 1, Item 25f

202-43.7. EEO General Files. General correspondence and copies of regulations with related records on the Civil Rights Act of 1964 and the EEO Act of 1972 and any pertinent future legislation; and Agency EEO committee meetings and records including minutes and reports.

Disposition: Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. GRS 1, Item 25g

202-43.8. EEO Affirmative Action Plans (AAP).

202-43.8.1. Agency copy of consolidated AAP(s).

Disposition: Destroy 5 years from date of plan. GRS 1, Item 25h.(1)

202-43.8.2. Agency feeder plan to consolidated AAP(s).

Disposition: Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. GRS 1, Item 25h.(2)

202-44. Personnel Injury Files. Correspondence and related investigatory records on-the-job injuries whether or not a claim for compensation was made; excluding copies filed in the OPF, and copies submitted to the Department of Labor.

Disposition: Destroy 3 years after cut off. GRS 1, Item 31

202-45. Employee Awards Files.

202-45.1. General awards records.

202-45.1.1. Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to Agencies' sponsored cash and non-cash awards, such as incentive awards, within grade merit increases, suggestions, and outstanding performance.

Disposition: Destroy 2 years after approval or disapproval. GRS 1, Item 12a (1)

202-45.1.2. Correspondence of memoranda on awards from other Government Agencies or private organizations.

Disposition: Destroy when 2 years old. GRS 1, Item 12a (2)

202-45.1.3. Lists or indexes to Agency award nominations. List of nominees and winners, and indexes of nominations.

Disposition: Destroy when superseded or obsolete. GRS 1, Item 12(d)

202-45.1.4. Military Awards (NC1-330-77-17). Awards approved by the Secretary of Defense for presentation, such as the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, the OSD Identification Badge, or other comparable awards sponsored by the OSD.

Disposition: Retire to the WNRC 3 years after cut off. Destroy when 15 years old. 202-27. for disposition of copies of awards to individual Military Services. Record copies are maintained in the individual's military personnel jacket.

202-46. Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.

202-46.1. Supervisor's Personnel Files. Correspondence, memoranda, forms, and other records on positions, authorizations, pending actions; copies of PDs, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

Disposition: Review annually and destroy superseded or obsolete documents, or destroy

all documents on an individual employee 1 year after separation or transfer. GRS 1, Item 18(a)

202-46.2. Duplicate Documentation. Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Disposition: Destroy when 6 months old. GRS 1, Item 18(b)

202-46.3. Personnel Tracking System (PTS) Master File. Information systems containing personnel and management data about military and civilian personnel, contractors, and non-DoD employees. Data is derived from related files in the civilian and military personnel systems, Joint Table of Distribution (JTD), Joint Personnel Adjudication System (JPAS), Defense Clearance and Investigation Index (DCII), DD 254 (Contract Security Classification Specification, Department of Defense) and visitor requests. May contain information concerning: strength reports; office personnel information (emergency contact information, duty hours, career status, pay status, education, home address and personal telephone numbers, etc); office visitors; position titles; office vacancies; names of organizations; travel; manpower information; personnel security clearances; special assignments; personnel statistical reports; parking permits; and related data. (N1-330-08-2).

Disposition: Cutoff record on separation or transfer of individual. Delete record when no longer needed for conducting business but do not retain longer than 6 years.

202-47. Personnel Counseling Records. These files consist of counseling files, reports of interviews, analyses, and related records. (For records pertaining to coordinating, planning, and directing the Federal Workplace Drug Free Testing Program, 202-51.)

Disposition: Destroy 3 years after termination of counseling. GRS 1, Item 26a

202-48. Training Records.

202-48.1. Training Aids.

202-48.1.1. One copy of each manual, syllabus, textbook, and other training aids developed by the Agency.

Disposition: Permanent. Retire to the WNRC when course is revised or discontinued.

202-48.1.2. Training aids from other Agencies or private institutions.

Disposition: Destroy when superseded or obsolete.

202-48.2. General file of Agency-sponsored training.

202-48.2.1. Correspondence, memoranda, agreements, authorizations reports, requirement reviews, plans, and objectives on the establishment and operation of training courses and conferences.

Disposition: Destroy when 5 years old or 5 years after completion of a specific training program. GRS 1, Item 29a(1)

202-48.2.2. Background and working papers.

Disposition: Destroy when 3 years old. GRS 1, Item 29a(2)

202-48.3. Employee training. Correspondence, memoranda, reports, and other records on the availability of training and employee participation in training programs sponsored by other Government Agencies or non-Government institutions.

Disposition: Destroy when 5 years old or when superseded or obsolete, whichever is sooner. GRS 1, Item 29(b)

202-48.4. Course Announcement Files. Reference file of pamphlets, notices, catalogs and other records that provide information on courses or programs offered by Government or non-Government organizations.

Disposition: Destroy when superseded or obsolete.

202-49. Grievance, Disciplinary, and Adverse Action Files.

202-49.1. Administrative Grievance Files (5 CFR Part 771). Records originating in the review of grievance and appeals raised by Agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records on a reconsideration request.

Disposition: Destroy no sooner than 4 years but no later than 7 years after case is closed. GRS 1, Item 30a

202-49.2. Adverse Action Files (5 CFR Part 752) and Performance-Based Actions (5 CFR 432). Case files and related records to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the notice of proposed action with supporting papers; statements of witnesses; employee's reply when written; hearing notices, reports, and decisions; reversal of decision; a summary thereof when made orally; the notice of decision and reasons; and appeals records. EXCLUDING letters of reprimand which are filed in the OPF.

Disposition: Destroy when case is 4 years but no later than 7 years after case is closed. GRS 1, Item 30b

202-49.2.1. Informal Disciplinary Files. Case files and related records created in reviewing an informal action (Letters of Warning, Letters of Caution, Letters of Counseling and Leave Restriction Letters) against an employee, including all supporting documentation.

Disposition: Destroy when 4 years old. GRS 1, Item 30b

202-49.2.2. Unacceptable Performance Files. Case files and related records created in reviewing an unacceptable performance action (denial of within-grade, unacceptable performance rating) against an employee; includes performance ratings, progress reviews, notices of opportunity to improve, notices of denial of within-grade, copy of proposed performance action with supporting papers; employee's reply when written; a summary thereof when made orally; hearing notices; reports; the notice of decision and the reasons thereof; reversal of action; and appeal records.

Disposition: Destroy 4 years after case is closed. GRS 1, Item 30b

202-50. Individual Promotion Files. Records on the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluation of candidates, EXCLUDING any records that duplicate information in the promotion plan, are in the OPF or in other personnel records.

Disposition: Destroy 2 years after the personnel action or after the action has been audited by the OPM, whichever is sooner.

202-51. Federal Workplace Drug Testing Program Files. These files consist of drug testing program records created under E.O. 12564 and P.L. 100-71, Section 503 (101 Stat. 468) excluding consolidated statistical and narrative reports concerning the operation of the Agency program (902.). Disciplinary action case files on actions taken against employees for drug use, possession, failure to comply with drug testing procedures, and similar matters are covered by 202-49.2, Adverse Action Files. Any records that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case files.

202-51.1. Drug test plans and procedures, excluding documents filed in formal issuances such as directives, procedures handbooks, etc. These files consist of copies of plans and procedures, with related drafts, correspondence, memoranda, and other records on the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Disposition: Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. GRS 1, Item 36a

202-51.2. Employee acknowledgement of notice forms. These are forms completed by employees whose positions are designated sensitive for drug testing

purposes acknowledging that they have received notice that they may be tested.

Disposition: Destroy when employee separates from testing-designated position. GRS 1, Item 36b

202-51.3. Selection and/or scheduling records. These are records relating to the selection of specific employees and/or applicants for testing and the scheduling of tests. Included are lists, notification letters, and testing schedules.

Disposition: Destroy when 3 years old. GRS 1, Item 36c

202-51.4. Records on the collection and handling of specimens.

202-51.4.1. Bound record books containing identifying data on each specimen, recorded at each collection site in the order the specimens were collected.

Disposition: Destroy 3 years after date of last entry. GRS 1, Item 36d(1)

202-51.4.2. Chain of custody records consisting of forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Disposition: Destroy when 3 years old. GRS 1, Item 36d(2)

202-51.5. Test results consisting of records documenting individual test results, including reports of testing, notifications of employees and/or applicants and employing offices, and documents relating to follow-up testing.

Disposition: Destroy when 3 years old. GRS 1, Item 36e

202-52. DoD Combined Federal Campaign. The Voluntary Campaign Management Office oversees the planning, development, implementation, and overall management and administration of the annual DoD Combined Federal Campaign (CFC) for the National Capital Area, and Overseas, in the DoD U.S. savings Bonds Program, OSD Blood Donor Program, and emergency of disaster relief fund-raising as directed by the Office of Personnel Management (5 CFR, Part 950, Section 950.604). (N1-330-00-1)

202-52.1. Combined Federal Campaign Files. Document on CFC special events, weekly statistical reports, historical information on previous campaigns, DoD CFC account numbers, DoD directives, DoD Loaned Executives, CFC national Committee Meetings, CFC Chair/Vice Chair/Campaign Managers, Retiree Access, Campaign Manager Meetings, Personnel Hilites articles, and general correspondence for domestic, and overseas campaigns.

Disposition: Destroy/delete when 3 years old.

202-52.2. Savings Bonds Campaign Files. Documents on Savings Bonds special events, end –of-campaign statistical reports, semiannual bond reports/ mailing list, DoD component campaign plans; DoD Directives, Savings Bonds legislation, Savings Bonds Chair/Vice Chair/Campaign Managers, Personnel Hilites articles, general correspondence and Campaign Manager Guides.

Disposition: Destroy/delete when 3 years old.

202-52.3. Blood Donor Program Files. Documents on Blood Council Meetings, OSD Blood Recruiters, DoD directives, and general correspondence files.

Disposition: Destroy/delete when 3 years old.

202-52.4. Electronic versions of records created by the electronic mail and word processing applications.

Disposition: Delete when file copy is generated or when no longer needed for reference or updating.

202-53. Alternative Dispute Resolution (ADR) Files. Alternative Dispute Resolution is any procedure, conducted by a neutral third party that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombudsman. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees.

NOTE: This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in GRS 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.

202-53.1. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program.

Disposition: Destroy/delete when 3 years old. Longer retention is authorized if records are needed for agency business. GRS 1, Item 27

202-53.2. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence.

Disposition: Destroy/ delete 3 years after settlement is implemented or case is discontinued. GRS 1, Item 27

203. RECORDS MANAGEMENT FILES

These files result from the planning, promulgation, and execution of concepts and procedures for managing the creation, transmission, maintenance, use, and disposition of OSD records.

203-01. Records Management Survey Files. Documents on staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of records management operations and programs. Notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents are included.

Disposition: Office performing OSD-wide staff responsibility: Destroy after 15 years. Other offices: Destroy 2 years after next comparable survey or on discontinuance of the surveyed office, whichever is first.

203-02. Records Management Survey Background Files. Documents used in preparing for records management surveys. Included are organizational charts, statements of functions, copies of records management directives, lists of personnel responsible for records management, volume of records data, copies of training materials, copies of authorized deviations, schedules of surveys, notes drafts, and similar or related documents.

Disposition: Destroy in the CFA after 5 years. Earlier destruction is authorized.

203-03. Access to Information Files. Documents on the formulation of DoD procedures, conditions, and restrictions on the release of information from files, release of copies, and the granting of access to records for official or unofficial research. Included are case files with requests, basic interpretations, decisions precedents, studies, and related or similar papers.

203-03.1. Procedures, restrictions and conditions. Offices responsible for formulating OSD concept.

Disposition: Permanent. Cut off after 5 years and retire to the WNRC.

203-03.2. Case files.

Disposition: Cut off after 5 years. Retire to the WNRC; destroy when 15 years old.

203-04. Records Disposal Authorization Files. Documents authorized by Congress or the Archivist of the United States to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, and

approvals or disapprovals.

Disposition: Destroy when 25 years old.

203-05. Records Locator and Distribution Files. Information maintained by records management program offices reflecting the transfer or retirement of documentary materials. Included are: Records shipment lists and records transfer lists (SF 135); copies of deed/instrument of gift; approvals/disapprovals of agency officials; correspondence between the donor, research institution, and agency officials; and other related information.

Disposition: Destroy after all records listed thereon have been destroyed, except those reflecting permanent files may be destroyed when no longer needed for reference. OSD Records Administrator: Keep hardcopy version of OSD offices' submissions until converted to electronic medium, then destroy. Purge database when no longer needed for reference.

203-06. Records Management System Files. Documents on the appraisal of records systems and procedures such as those relating to miniaturization, office copying, and word processing. Included are evaluation studies and similar or related documents.

Disposition: Destroy after 1 year.

203-07. Records Holding Reporting Files. RESCINDED.

203-08. Records Disposition Standard Exemption Files. Documents reflecting exceptions to records disposition standards authorized by responsible records management officials. Included are requests, approvals, and related documents.

Disposition: Destroy on expiration of exception.

203-09. National Archives Liaison. Documents, correspondence, and the like pertaining to exchange between National Archives and the OSD on the subject of records management.

Disposition: a. Any authority to destroy or exemptions granted by NARA shall be retained for 6 years. Retire to the WNRC at that time. Destroy when 25 years old. b. Other general correspondence may be destroyed after 2 years.

203-10. Privacy Act Files. (Privacy Act requests are filed by Freedom of Information and Security Review, WHS. (see 704.)

203-10.1. Privacy Act Accounting of Disclosure Files. Files maintained under the provision of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another Agency, including forms for showing the subject individual's name, requester's name and address, purpose

and date of disclosure, and proof of subject individual's consent when applicable.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure that the accountability was made, whichever is later. GRS 14, Item 23

203-10.2. Privacy Act Amendment Case Files. Files on an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an Agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing Agency as provided under 5 U.S.C. 552a(g).

203-10.2.1. Requests to amend a record agreed to by Agency. Includes individual's request to amend and/or review refusal to amend, copies of Agency's replies thereto, and related materials.

Disposition: Dispose of in accordance with the approved disposition instruction for the related subject individual's record or 4 years after Agency's agreement to amend, whichever is later. GRS 14, Item 22a

203-10.2.2. Requests to amend refused by Agency. Includes individual's requests to amend, copies of Agency's replies thereto, statement of disagreement, Agency justification for refusal to amend a record, and related materials.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records; 4 years after final determination by Agency or 3 years after final adjudication by courts, whichever is later. GRS 14, Item 22b

203-10.2.3. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any Agency to amend a record.

Disposition: Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later. GRS 14, Item 22c

203-10.3. Privacy Act Reports Files. Recurring reports and one-time information requirements relating to Agency implementation, including annual reports to the Congress of the United States, OMB, and the Report on New Systems. Annual reports at Departmental or Agency level.

Disposition: Destroy when 2 years old. GRS 14, Item 25

203-10.4. Privacy Act General Administrative Files. Records on the general Agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Disposition: Destroy when 2 years old. GRS 14, Item 26

203-11. Declassification Management Files. Documents, directives, and correspondence on the subject. Requests for declassification from in and out of the Department of Defense. Responses, appeal referrals and general policy files.

Disposition: Retain case files for 3 years after last entry. Retire to the WNRC. Destroy when 10 years old.

203-12. Data Index Systems Files. Policy direction on the methods to be employed in developing an automatic or manual system to recognize and downgrade classified documents of a permanent nature. The identification of data elements in the system and the anticipated output. The present OSD system is manual.

Disposition: Informational documents: destroy when no longer needed for current business.

203-13. RESERVED

203-14. Vital Records Program Files. Correspondance, inventories, directives, policy.

Disposition: Permanent. Policy and procedural directives. Retire to the WNRC when superseded or obsolete. Transfer to National Archives when 20 years old. Destroy old inventories when superseded.

203-15. Source Data Systems Files. Instructive materials, system studies, directives.

Disposition: Destroy/delete when no longer current.

203-16. Mail Management Files. Systems studies, statistics, proposals, directives, instructional materials.

Disposition: Destroy/delete when no longer current.

203-17. Records Management Files. Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.

Disposition: Destroy/delete when 6 years old. GRS 16, Item 7

203-18. Health Insurance Portability and Accountability Act (HIPAA). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law 104-191, was enacted on August 21, 1996. Records documenting authorizations, disclosures, access, complaints, amendments to, and control of protected health information, included are:

- Authorizations from individuals for uses and disclosures of their protected health information;
- Original requests for protected health information, copies of contractor responses, and all related supporting documentation;
- Information that provides an accurate accounting of the date, nature, and purpose of each protected health information (PHI) disclosure, including documents that show the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent, when applicable;
- Letters of complaint, contractor's response, and other supporting documentation;
- Requests for amendment, contractor's agreement to amend or agreement not to amend records, and all supporting documentation; and
- Logs which track HIPAA requests.

Disposition: PENDING APPROVAL. Retain until disposition instructions have been approved by NARA.

204. FLOOR SPACE MANAGEMENT AND SERVICE FILES

Acquisition, allocation, and utilization of space and office services including related correspondence.

204-01. Space Management. Records relating to the allocation, utilization, and release of space under Departmental control and related reports to the GSA.

Disposition: a. Dispose of building plan file and related Departmental records on space utilization, planning assignment, or adjustment 2 years after termination of assignment, when lease is canceled, or when plans are superseded or become obsolete. GRS 11, Item 2a. b. Dispose of records supporting, and copies of, reports submitted to GSA on space occupied, both inside and outside the National Region, 2 years after annual file cut off. GRS 11, Item 2 b(1). c. Destroy space plan file and related record material used in space planning, and assignment and adjustment of space allocated to the OSD 2 years after file cut off. GRS 11, Item 2b(1). d. Destroy record copies supporting reports submitted to the Department of Defense space control activity regarding space occupied by the OSD 1 year after file cut off. GRS 11, Item 2b(2). e. Dispose of correspondence files on space and maintenance matters of an administrative or operating nature when 2 years old. GRS 11, Item 1.

204-02. Duty Hours Coordination Files. Documents on duty hours of principal DoD Components in the Pentagon; guard and custodial services, and related

correspondence.

Disposition: Destroy when 5 years old.

204-03. Administrative Policy Files. Documents on the development, preparation, issuance, and interpretation of directives or regulatory instructions and facilities and space.

Disposition: When superseded or obsolete, place in inactive file. Destroy after 10 years.

204-04. Space and Facilities Files. Copies of documents on space assignments, agreements, building plans, alterations requests, maintenance, and related records.

Disposition: Destroy 5 years after termination of assignment.

204-05. OSD Liaison Files. Documents on liaison with the GSA and other Federal Agencies on the subject of space management.

Disposition: Destroy after 5 years.

204-06. Concession Operations Files. Documents on correspondence with various concessions operations. Leases and other agreements on use and operations.

Disposition: Cut off when new agreement reached or concessionaire relocates. Retain 2 years, then retire to the WNRC for an additional 5 years.

204-07. Credential Files.

204-07.1. Property pass files, authorizing removal of property or materials.

Disposition: Destroy 3 months after expiration or revocation. GRS 18, Item 12

204-07.2. Identification credentials and related papers. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

Disposition: Destroy credentials 3 months after return to issuing office. GRS 11, Item 4(a)

204-08. Building and Equipment Services. Requests for building and equipment maintenance services, excluding fiscal copies.

Disposition: Destroy 3 months after work performed or requisitions canceled. GRS 11, Item 5

204-09. Parking Financial Files

204-09.1. Accounts maintained for site audit records consisting of statements of transactions, collection schedules, etc.

Disposition: Retain on site 3 years. Retire to the WNRC for an additional 3 years and 3 months.

204-09.2. General Accounting Ledger.

Disposition: Destroy 10 years after the close of the fiscal year.

204-10. Safety and Occupational Health Office Files (NI-330-93-7). These files accumulate in the Safety and Occupational Health Office of the Directorate for Real Estate and Facilities (RE&F), WHS, who responsible for providing safety and health, industrial hygiene, and environmental protection regulation compliance support to all RE&F-owned and -leased facilities in the National Capital Region. The disposition of these files is governed by 29 CFR Parts 904 and 1910.

204-10.1. Summary of Injuries and Illnesses (OSHA Form 200). (Covered under existing authority.)

204-10.2. Material Safety Data Sheets (OSHA Form 174 or authorized variants). These forms contain descriptions, chemical analyses, and other data (toxicological and health reports, disposal instructions, emergency first aid instructions, handling precautions, etc.) on substances and agents that are potential health and safety hazards in the workplace.

Disposition: Cut off at the end of the calendar year and retire to the WNRC; destroy 75 years after cut off (29 CFR 1910.20(d)(d), II (B)).

204-10.3. Environmental Files.

204-10.3.1. Asbestos. These files consist of inspection reports, assessments (microscopic analysis and lab reports) pertaining to asbestos abatement in RE&F-owned or -controlled facilities. Also included is general information on the asbestos abatement program, lists of asbestos managers by facility, and general correspondence.

204-10.3.2. Industrial Hygiene. These files contain but are not limited to such documents as indoor air quality surveys, industrial hygiene evaluations, special fire protection surveys, fire safety inspection reports, microwave oven leak surveys, underground storage tank tests, radon test results, pest control reports and other tests, surveys, inspections, and reports pertaining to environmental health and safety programs throughout RE&F-owned and -controlled facilities.

Disposition: Cut off when 5 years old and retire to WNRC. Destroy 75 years after cut off. (29 CFR 1910.20(2)ii(b)).

204-10.4. Pentagon Building Daily Reports File. This file consists of cover sheets and handwritten "Watchdog" Reports prepared by industrial hygienists documenting results of general building condition air-quality surveys conducted throughout the Pentagon Building on a daily basis.

Disposition: Cut off annually. Hold in the CFA for 2 years after cut off and retire to WNRC. Destroy 75 years after cut off (29 CFR 1910.20(d)ii)).

205. HISTORICAL FILES

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

205-01. Historical Records and Reports File. Documents prepared by historians under the OSD historical program.

Disposition: Permanent. Retire to the WNRC 2 years after cut off.

205-02. Historical Research and Reference Files. Documents collected and maintained by historians in the preparation of histories, occasional studies, and reports.

Disposition: Destroy when superseded or obsolete.

206. BUDGET AND FINANCE

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

Paragraphs 206-01. through 206-07. of this schedule apply to records of budget preparation, presentation, and apportionment. OSD budget records normally are created at all levels of organization. They show proposals from all operating levels as well as the OSD-wide coordinating work done by the budget office. Therefore, the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated

submissions prepared at the OSD level.

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

206-01. Budget Policy Files. Correspondence or subject files documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for OSD programs.

Disposition: Permanent. Cut off when superseded or obsolete and retire to the WNRC, as appropriate for documents maintained in accordance with series 103-01.

206-02. Budget Background Records. Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in 206-04.

Disposition: Destroy 1 year after the close of the fiscal year covered by the budget.

206-03. Budget Correspondence Files. Correspondence files in formally organized budget offices on routine administration, internal procedures, and other matters not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old.

206-04. Budget Estimates and Justification Files.

206-04.1. Copies of budget estimates and justifications prepared or consolidated for the OSD and offices under the WHS for administrative support. Included are appropriation language sheets, narrative statements, and related schedules and data.

Disposition: Permanent. Retire to the WNRC when 4 years old. Transfer to the National Archives when 20 years old.

206-04.2. Working papers and background materials.

Disposition: 206-02. of this schedule.

206-05. Budget Reports Files. Periodic reports on the status of appropriation accounts and apportionment.

206-05.1. Annual report (end of fiscal year).

Disposition: Destroy 5 years after account merges. GRS 5, Item 3a

206-05.2. All other reports.

Disposition: Destroy 3 years after the close of the fiscal year. GRS 5, Item 3b

206-06. Financial Reports. Financial reports, recurring and one-time, on financial management.

Disposition: Permanent. Retire to WNRC when 2 years old; transfer to NARA when 20 years old.

206-07. Budget Apportionment Files. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Disposition: Destroy 2 years after the close of the fiscal year.

206-08. Travel and Transportation Records. This schedule covers records on the movement of goods and persons under Government orders. The recordkeeping involved in the movements centers around bills of lading, transportation requests, vouchers, and associated records. Copies of records used to support payments become part of the accountable officer's accounts, or are accounting posting media.

206-08.1. Movement of Goods. The key record is the bill of lading which includes copies for cosigners, consignees, and the carriers themselves. The papers related to, and normally filed with, the bill of lading varies and is often voluminous. These may consist of shortage and demurrage reports, invoices, and other descriptive data that document hold effects, authorized by law and regulations for civilian employees of the Government. When shipping certain vouchers under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, papers relating to claims that may ensue, and other pertinent documents.

206-08.2. Movement of Persons. The movement of persons is documented essentially by copies of travel orders and standard form vouchers showing payment for official travel. The primary copies of the travel orders are the administrative copy maintained by the transportation unit controlling the issuance of travel orders, and copies used for encumbrance of funds.

206-08.2.1. Freight Files. Records on freight consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records on the shipment of household goods.

206-08.2.1.1. Issuing office memorandum copies, other than those identified in 206-08.2.1.4., below.

Disposition: Destroy 6 years after the period of the account. GRS 9, Item 1

206-08.2.1.2. All other copies.

Disposition: Destroy when 2 years old. GRS 9, Item 4

206-08.2.1.3. Registers and control records.

Disposition: Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable. GRS 23, Item 8

206-08.2.1.4. Records on international shipments of household goods moved by freight forwarders.

Disposition: Destroy 6 years after the period of the account.

206-08.2.2. Lost or Damaged Shipment Files. Schedules of valuables shipped, correspondence, memoranda, reports, and other records on the administration of the Government Losses in Shipment Act.

Disposition: Destroy when 6 years old. GRS 9, Item 2

206-08.2.3. Passenger Transportation Files. Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers.

206-08.2.3.1. Issuing office memorandum copy.

Disposition: Destroy when 6 years old. GRS 9, Item 1c

206-08.2.3.2. Obligation copy.

Disposition: Destroy when funds are obligated. GRS 9, Item 1d

206-08.2.3.3. Unused ticket redemption forms, such as SF 1170.

Disposition: Destroy when no longer needed for administrative use. GRS 9, Item 1e

206-08.2.4. Passenger Reimbursement Files. Records on reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.

206-08.2.4.1. Travel administrative office files.

Disposition: Destroy when 6 years old. GRS 9, Item 3a

206-08.2.4.2. Obligation copies.

Disposition: Destroy when funds are obligated. GRS 9, Item 3b

206-08.2.5. General Travel and Transportation.

206-08.2.5.1. Correspondence, forms, and related records on to Agency travel and transportation functions, not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old. GRS 9, Item 4a

206-08.2.5.2. Accountability records.

Disposition: Destroy 1 year after all entries are cleared. GRS 9, Item 4b

206-09. Accountable Officer's Files.

206-09.1. Original or carbon copy of accounts maintained for site audit by GAO consisting of statements of transaction, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers.

Disposition: Destroy 6 years, 3 months after period covered by account. GRS 6, Item 1a

206-09.2. Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere.

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

206-10. GAO Exception Files. GAO notices of exceptions, such as SF 1100, never formal, informal, or related correspondence.

Disposition: Destroy 1 year after exception has been cleared by the GAO. GRS 6, Item 2

206-11. Certificates Settlement Files. Copies of certificates of settlement of accountable officers, statement of differences, and related records.

206-11.1. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.

Disposition: Destroy 2 years after settlement. GRS 6, Item 3a

206-11.2. Certificates covering periodic settlements.

Disposition: Destroy when subsequent certificate of settlement is received. GRS 6, Item 3b

206-12. General Fund Files. Records on availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit (SFs 201, 209, and 219), other than those records covered by 206-09 of this schedule.

Disposition: Destroy when 3 years old. GRS 6, Item 4

206-13. Accounting Administrative Files. Correspondence, reports and data on voucher preparation, administrative audit, and other accounting and disbursing operations.

206-13.1. Files used for workload and personnel management purposes.

Disposition: Destroy when 2 years old. GRS 6, Item 5a

206-13.2. All other files.

Disposition: Destroy when 3 years old. GRS 6, Item 5b

206-14. Federal Personnel Surety Bond Files.

206-14.1. Official copies of the bond and attached powers of attorney.

206-14.1.1. Bonds purchased prior to January 1, 1956.

Disposition: Destroy 15 years after bond becomes inactive. GRS 6, Item 6a(1)

206-14.1.2. Bonds purchased after December 31, 1955.

Disposition: Destroy 15 years after end of bond premium period. GRS 6, Item 6a(2)

206-14.1.3. Other bond files including other copies of bonds and related documents.

Disposition: Destroy when bond becomes inactive or after the end of the bond premium period. GRS 6, Item 6b

206-15. Telephone Toll Tickets. Originals and copies of toll tickets filed in support of telephone toll call payments.

Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner. GRS 6, Item 8

206-16. Expenditure Accounting General Correspondence and Subject Files. Correspondence or subject files maintained by operating units responsible for expenditures accounting pertaining to their internal operations and administration.

Disposition: Destroy when 2 years old. GRS 7, Item 1

206-17. General Accounting Ledgers. General accounts ledgers, that shows debit and credit entries, and reflects expenditures in summary.

Disposition: Destroy 6 years and 3 months after the close of the fiscal year involved. GRS 7, Item 2

206-18. Appropriation Allotment Files. Allotment records showing status of obligations and allotments under each authorized appropriation.

Disposition: Destroy 6 years and 3 months after the close of the fiscal year involved. GRS7, Item 3

206-19. Expenditure Accounting Posting and Control Files. Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.

206-19.1. Original records.

Disposition: Destroy when 3 years old.

206-19.2. Copies.

Disposition: Destroy when 2 years old.

207. PAY FILES (NC1-330-77-4)

207-01. Individual Earning and Service Cards (such as SF 1127 or its equivalent).

Disposition: Transfer to National Personnel Records Center (NPRC), St. Louis, MO 63118. If in personnel folder or in individual pay folder filed adjacent to personnel folder, dispose of with the personnel folder. B. If not in or filed adjacent to personnel folder, dispose of 56 years after date of last entry on card. GRS 2, Item 1b

207-02. Correspondence Files. Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

Disposition: Destroy after 2 years. GRS 2, Item 24

207-03. Time and Attendance

207-03.1. Source Records. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (OF 1130); flextime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be either machine-readable or paper form.

Disposition: Destroy after GAO audit or after 6 years, whichever is sooner. GRS 2, Item 7

207-03.2. Input Records. Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.

Disposition: Destroy after GAO audit or when 6 years old, whichever is sooner. GRS 2, Item 8

207-04. Individual Authorization Card and Payroll Allotments (such as SF 1192)

207-04.1. Where record of bond deductions is maintained on earning record card.

Disposition: Destroy when superseded or after separation of employee. If employee transfers within an Agency, these authorizations must also be transferred. Treasury Fiscal Requirement Manual, paragraph 6020.20e for instructions relating to savings bond authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions on the Combined Federal Campaign authorizations.

207-04.2. Where record of bond deductions is not maintained elsewhere.

Disposition: Destroy 3 years after superseded or 3 years after separation of employee. 207-04.1., above, for transfer instructions.

207-05. Issuing Agents Bond Registration Files. Issuing agents' copies of bond registration stubs. GRS 2, Item 14b

Disposition: Destroy after 2 years.

207-06. Bond Receipt and Transmittal Files. Receipts For and Transmittals of U.S. Savings Bonds. GRS 2, Item 14c

Disposition: Destroy 4 months after date of issuance of bond.

207-07 U.S. Savings Bonds. Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent. GRS 2, Item 14a

Disposition: Destroy when superseded or after separation of employee.

207-08. Leave Application Files. Record of employee leave, such as SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.

207-08.1. If employee initials time card or equivalent.

Disposition: Destroy at the end of the following pay period. GRS 2, Item 6a

207-08.2. If employee has not initialed time card or equivalent.

Disposition: Destroy after the GAO audit or when 3 years old, whichever is sooner. GRS 2, Item 6b

207-09. Leave Record Cards.

207-09.1. Record of employee leave, such as SF 1150, prepared upon transfer or separation.

Disposition: Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service. GRS 2, Item 9a

207-09.2 Creating agency copy, when maintained.

Disposition: Destroy when 3 years old. GRS 2, Item 9b

207-10. Donated Leave Program Case Files.

Disposition: Destroy 1 year after the end of the year that the file is closed.

207-11. Personnel Actions. Notifications of personnel action, exclusive of those in OPF.

207-11.1. Pay or fiscal copy.

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier.

207-11.2. Chronological file copies, including fact sheets.

Disposition: Destroy after 2 years.

207-11.3. All other copies.

Disposition: Destroy after 1 year.

207-12. Budget Authorizations File Copies. Copies of budget authorizations to operating units that control personnel ceilings and personnel actions.

Disposition: Destroy when superseded.

207-13. Memorandum copies of payrolls, check lists, and related certification sheets (such as SFs 1013, 1128, or equivalents).

207-13.1. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers.

Disposition: Destroy when the FRC receives second subsequent payroll or check list covering same payroll unit.

207-13.2. All other copies.

207-13.2.1. Where earning record is maintained.

Disposition: Destroy after audit by GAO or after 3 years, whichever is earlier.

207-13.2.2. Where earning record card is not maintained.

Disposition: Transfer to National Personnel Records Center, St. Louis, MO, when 3 years old.

207-14. Payroll control registers.

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier.

207-15. Payroll Change Slips. Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

207-15.1. Copies subject to GAO audit. GRS 2, Item 23a

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier.

207-15.2. All other copies.

Disposition: Destroy 1 month after end of related pay period. GRS 2, Item 23b

207-16. Memorandum copies of fiscal schedules involved in payroll processing.

207-16.1. Copy used in GAO audit.

Disposition: Destroy after audit by GAO or after 3 years, whichever is earlier.

207-16.2. All other copies.

Disposition: Dispose of 1 month after end of pay period.

207-17. Administrative and Payroll System Reports. Data relating to payroll operations and pay administration.

207-17.1. Reports and data used for workload and personnel management purposes.

Disposition: Destroy after 2 years. GRS 2, Item 22b

207-17.2. Error reports, ticklers, system operation reports.

Disposition: Destroy when related actions are completed or when no longer needed, not to exceed 2 years. GRS 2, Item 22a

207-17.3. All other reports and data.

Disposition: Destroy after 3 years. GRS 2, Item 22c

207-18. Tax Files. Employee withholding allowance such as Internal Revenue Service (IRS) Form W-4 and state equivalents.

Disposition: Destroy 4 years after card is superseded or obsolete or upon separation of employee. GRS 2, Item 13a

207-19. Returns on income taxes. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.

Disposition: Destroy when 4 years old. GRS 2, Item 13b

207-20. Reports of withheld Federal taxes. Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor.

Disposition: Destroy when 4 years old. GRS 2, Item 13c

207-21. Retirement Reports and Registers. Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent

Disposition: For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary. GRS 2, Item 28

207-22. Reports of insurance deductions and related papers including copies of vouchers and schedules of payment.

Disposition: Destroy after 3 years.

207-23. Levy and garnishment records (including official notice of levy or garnishment, change slips, working papers and correspondence relating to charges against retirement funds or attachment of salary for payment of back income taxes or for other debts of Federal employees)

Disposition: Destroy after 3 years. GRS 2, Item 18

207-24. Department of Defense Education Activity (DoDEA) Erroneous Overpayments Files (N1-330-90-2). Documents on erroneous overpayments of earnings and benefits to DoDEA overseas civilian employees. These include excess payments of salaries, health benefits, annual sick leave reimbursements, foreign-post differentials, living allowances, and cost of living adjustments. Paperwork contained in individual files that consists of notifications of overpayment to the individual stating the amount of indebtedness to the Government; copies of personnel action notices; vouchers; payment listings; and audit worksheets. Also included are letters from individuals that request a waiver from the indebtedness; DoDEA investigation reports and preliminary decisions; correspondence forwarding claims to the Director, Administration and Management, OSD; and copies of the final decisions rendered by the Comptroller General of the United States.

Disposition: Destroy 5 years after case is closed.

207-25. Combined Federal Campaign and Other Allotment Authorizations

207-25.1. Authorization for individual allotment to the Combined Federal Campaign.

Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2, Item 15a)

207-25.2. Other authorizations, such as union dues and saving. GRS 2, Item 15b

Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner.

207-26. Thrift Savings Plan Election Form. Authorizing deduction of employee contribution to the Thrift Savings Plan. GRS 2, Item 16

Disposition: Destroy when superseded or after separation of employee.

207-27. Direct Deposit Sign Up Form (SF 1199A)

Disposition: Destroy when superseded or after separation. GRS 2, Item 17

208. SUPPLY AND SERVICES

\$100,000 208-01. Procurement files ((as described in 208-04.) involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents on general Agency procurements or to major procurement programs (other than those covered by 208-13.))

Disposition: Permanent. Retire to the WNRC when 5 years old.

208-02. Title papers (documenting the acquisitions of real property – by purchase, condemnation, donation, exchange, or otherwise).

208-02.1. All records for property acquired other than abstract or certificate of title.

Disposition: Title papers, dated 1921 and after. Destroy 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. GRS 3, Item 1a

208-02.2. Papers for property acquired before January 1, 1921.

Disposition: Title papers preceding 1921. Permanent. Transfer to the National Archives 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

208-02.3. Abstract or certificate of title.

Disposition: Transfer to purchaser after unconditional sale or release by the Government. GRS 3, Item 1b

208-03. Correspondence files (of procurement operating units on their internal operation and administration that are not covered elsewhere in this schedule)

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

208-04. Contract, requisition, purchase order, lease, and bond and surety records (including correspondence and related papers on award, administration, receipt, inspection, and payment (other than those covered in 208-01, 208-02, and 208-13))

208-04.1. Procurement or purchase organization copy, and related papers.

100,000

208-04.1.1. Transactions of more than ~~\$25,000~~ and all construction contracts exceeding \$2,000.

Disposition: Destroy 6 years and 3 months after final payment. (Place in inactive file on final payment; retire fiscal year block to FRC after 2 years). GRS 3, Item 3a(1)

208-04.1.2. Transactions of \$25,000 or less and construction contracts under \$2,000.

Disposition: Destroy 3 years ~~and 6 months~~ after final payment. (Close file at the end of each fiscal year, retain 3 years and dispose of, except those files on which actions are pending shall be brought forward to the next fiscal year's files for disposal therewith). GRS 3, Item 3a(2). (1)(b) 3 years

208-04.2. Obligation copy.

Disposition: Destroy when funds are obligated. GRS 3, Item 3b

208-04.3. Copies of contracts, requisitions, purchase orders, leases, and other papers that are duplicates of papers defined in 208-04.1, used by Component elements of a procurement office for administrative purposes.

Disposition: Destroy upon termination or completion. GRS 3, Item 3c

208-05. Files of reports on supply requirements and procurement matters submitted for supply management purposes. Case files (or other files of a general nature), exclusive of DoD reports reflecting procurement under exemptions authorized by Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481). GRS 3

208-05.1. Copies received from other units for internal purposes or for transmission to staff Agencies.

Disposition: Destroy after 2 years. GRS 3, Item 4a

208-05.2. Copies in other reporting units, and related work papers.

Disposition: Destroy after 1 year. GRS 3, Item 4b

208-06. Bid Files.

208-06.1. Successful bids.

Disposition: Destroy in accordance with 208-04. GRS 3, Item 5a

208-06.2. Unsuccessful bids.

Disposition: Destroy in accordance with 208-04. GRS 3, Item 5b

208-06.3. Lists or cards of acceptable bidders.

Disposition: Destroy when new list or card is made. GRS 3, Item 5d

208-07. Records on requisitioning on the Public Printer, and all supporting papers

208-07.1. Printing procurement unit copy of requisitions, invoices, specifications, and related papers.

Disposition: Destroy 3 years after completion or cancellation of requisition. GRS 3, Item 6a

208-07.2. Accounting copy of requisitions.

Disposition: Destroy 3 years after period covered by related account. GRS 3, Item 6b

208-08. Requisitions for non-personal services (such as duplicating, binding, and other services (excluding records associated with accountable officer's accounts))

Disposition: Destroy after 1 year. GRS 3, Item 7

208-09. Requisitions for supplies and equipment from current inventory

208-09.1. Stockroom copy.

Disposition: Destroy 2 years after completion or cancellation of requisition. GRS 3, Item 8a

208-09.2. All other copies.

Disposition: Destroy after 6 months. GRS 3, Item 8b

208-10. Inventory Files

208-10.1. Inventory lists

Disposition: Destroy 2 years from date of list. GRS 3, Item 9a

208-10.2. Inventory cards.

Disposition: Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification of inventory records, or 2 years after equipment is removed from Agency control. GRS 3, Item 9b

208-10.3. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.

Disposition: Destroy 2 years after period covered by related account. GRS 3, Item 9c

208-11. Telephone statements and toll slips

Disposition: Destroy 3 years after period covered by related account. GRS 3, Item 10

208-12. Contractors' payrolls ((construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers)

Disposition: Destroy 3 years after period covered by related account unless contract performance is subject of enforcement action on such date. GRS 3, Item 11

208-13. Tax exemption certificates and related papers.

Disposition: Destroy 3 years after period covered by related account. GRS 3, Item 12

208-14. Sales and Disposal of Surplus Property

208-14.1. Case files on sales of surplus personal property and real property comprising invitations, bids, acceptances, lists of material, evidence of sales and related papers involving transactions and other papers that document the initiation and development of transactions that deviate from established precedents to major disposal programs.

Disposition: a. Permanent. Cut off when case is closed. Retire to the WNRC when 3 years old; transfer to the National Archives when 30 years old. b. Destroy duplicate and

non-record material when file is cut off. c. Case files not covered by a., of this paragraph, apply disposition schedule 208-14.3.

208-14.2. Case files on disposal of surplus real and related personal property (as described in 208-14.1.).

Disposition: a. Retire record copies including related material 3 years after file cut off for permanent preservation. b. Destroy duplicate and non-record material when file is cut off.

208-14.3. Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in 208-14.1. and 208-14.2.).

208-14.3.1. Transactions of more than \$25,000.

Disposition: Destroy 6 years after final payment. (Place in inactive file on final payment and retire to the WNRC 2 years thereafter). GRS 4, Item 3(a)

208-14.3.2. Transactions of less than \$25,000.

Disposition: Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and dispose of, except files with pending actions shall be brought to the next fiscal year's files disposal therewith). GSR 4, Item 3(b)

208-15. Inventories of Supplies and Equipment

208-15.1. Stockroom copy of inventory lists.

Disposition: Destroy 2 years from date of list. GRS 3, Item 9(a)

208-15.2. Stockroom inventory cards.

Disposition: Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from Agency control. GRS 3, Item 9(b)

208-15.3. Card file of office equipment.

Disposition: Destroy individual item cards 2 years after equipment is transferred from the OSD.

208-16. Building and Equipment Service Files. Requests for building and equipment maintenance services, excluding fiscal copies.

Disposition: Destroy 3 months after work is performed or requisition canceled. GRS 11, Item 5

208-17. Cost Accounting. These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

208-17.1. Cost Accounting Reports. Copies in units receiving reports, reporting units and related work papers.

Disposition: Destroy when 3 years old. GRS 8, Item 6

208-17.2. Cost Report Files. Ledgers, forms, and electronic records used to accumulate data for use in cost reports.

Disposition: Destroy when 3 years old. GRS 8, Item 7a

208-17.3 Cost Report Data Files. Automated records and summary cards used to accumulate data for use in cost reports.

Disposition: Destroy when 6 months old. GRS 8, Items 7b (1) and (2)

208-17.4 Cost Report Tabulations. Tabulations used in cost reports.

Disposition: Destroy when 1 year old. GRS 8, Item 7b (3)

209. CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken by Agencies to protect classified information from unauthorized disclosure in accordance with the E.O. 12958, other Executive orders or statutory or regulatory requirements, and DoD 5200.1-R.

209-01. Correspondence files (on the administration of security classifications, control, and accounting for classified documents not covered elsewhere in this schedule)

Disposition: Destroy when 2 years old. GRS 18, Item 1

209-02. Classified document receipts (on the receipt and issue of classified documents)

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

209-03. Classified document destruction certificates (on the destruction of classified documents)

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

209-04. Classified document inventory files (consists of forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents on Top Secret material covered elsewhere in this schedule)

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

209-05. Top Secret Document Accounting and Control Files

209-05.1. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

Disposition: Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. GRS 18, Item 5a

209-05.2. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Disposition: Destroy when related documents are downgraded, transferred, or destroyed. GRS 18, Item 5b

209-06. Access request files (that consist of requests and authorizations for individuals to have access to classified files)

Disposition: Destroy 2 years after authorization expires. GRS 18, Item 6

209-07. Classified document container security files (consists of forms or lists used to record safe and padlock combinations, and comparable data used to control access into classified document containers)

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

209-08. Security Violations Files. These are case files relating to violations of Executive Orders, laws, or Agency regulations for the safeguarding of national security information, exclusive of documents placed in official personnel folders. Not to be confused with Defense Investigative Program Records (210-01.1.1. - 210-01.1.3).

Disposition: a. Files relating to alleged violations of a sufficiently serious nature that

they are referred to the Department of Justice (DOJ) or Defense for prosecutive determination, exclusive of files held by DOJ or Defense offices responsible for making such determinations: Destroy 5 years after close of case. b. All other files, exclusive of documents placed in official personnel folders: Destroy 2 years after completion of final action. GRS 18, Item 24

210. DEFENSE INVESTIGATIVE PROGRAM RECORDS (NC1-330-76-1)

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

210-01. Defense Investigative Case Files. Includes personnel security data on members of the Armed Forces, DoD civilian employees, and contractor employees under the Defense Industrial Security Program; data on activities threatening the security or involving the disruption or subversion of DoD military and civilian personnel, functions, activities, installations, information, communications, equipment and supplies; data on investigative activities within the United States, the District of Columbia, the Commonwealth of Puerto Rico, and United States Territories and possessions.

210-01.1. Files Relating to DoD Civilians and/or Military Members. Disposable. Retention periods for investigative records shall be as follows:

210-01.1.1. Routine Investigations. Personnel security investigations of a favorable nature and other investigations of a minor nature.

Disposition: Destroy 15 years after completion date of the last investigative action for that file. Personnel security files on persons who are considered for affiliation with the Department of Defense shall be destroyed after 1 year if the affiliation is not completed.

210-01.1.2. Significant Incidents of Adverse Actions. Personnel security investigations resulting in an adverse personnel action or court-martial, or other investigation required for long-term administrative or legal use.

Disposition: Destroy 25 years after the date of the last action. Those files determined to be of possible historical value and those of widespread public or congressional interest may be retired to the National Archives after 15 years.

210-01.1.3. Major Investigations. Investigations of espionage and sabotage, or other major investigations of a counterintelligence and a security nature.

Disposition: Permanent. Transfer to the National Archives within 25 years after the date of the last action.

210-01.2. Files On non-DoD Affiliated U.S. Citizen and Organizations.

210-01.2.1. Activities or events posing one of the following types of continuing threats to DoD military and civilian personnel and Defense activities and installations: Demonstrated hostility. Activities of an actual example of violent or criminal hostility has been carried out within the previous year; Threatened hostility. Activities that have explicitly threatened DoD installations providing a significant potential source of harm or disruption of the installation of its function during the previous year; Dissidence activities. Activities that have involved actively encouraging violation of the law, disobedience of lawful order or regulation, or disruption of military activities during the previous year.

210-01.2.1.1. Information that falls in the above categories that is originated by, and received or acquired from, Agencies outside the Department of Defense.

Disposition: Destroy not later than 1 year after acquisition unless validated for retention for another year when it is determined during the annual verification review by the Secretaries of the Military Departments that a continued threat exists.

210-01.2.1.2. Files or other documents created within the Department of Defense that contain significant analytical comments, value judgments, or recommendations on information received or acquired from Agencies outside the Department of Defense.

Disposition: Retain for a period not in excess of 1 year after acquisition, unless validated on an annual basis for continued retention. When DoD-originated information is not validated for continued retention, these files shall be transferred to the National Archives for a determination of their historical value.

210-01.2.2. Activities or events not posing a continuing threat. Information originated by, and received or acquired from, Agencies outside the Department of Defense during the course or routine investigative or liaison activity which after receipt is subsequently determined to fall outside the area of interest of the DoD personnel, property or functions and no DoD file is created or DoD information generated.

Disposition: Destroy immediately after an evaluation determines a threat does not exist or not later than 90 days following acquisition.

210-01.2.3. Special Investigation and Operations. Files or other documentation originated by the DoD Components pertaining to those activities of non-DoD affiliated organizations and individuals that potentially or actually threatened DoD functions, property or personnel, and files or other documentation on Defense Investigative Review Council-approved measures to quell or counter these activities.

Disposition: Permanent. Transfer to the National Archives within 25 years after the date of the last action.

210-01.2.4. Organizations and Individuals Servicing the DoD Installations. Investigative information on organizations and individuals providing commercial services, engaged in contracts, or otherwise engaged in business enterprises on DoD installations.

Disposition: Destroy 1 year after the service is discontinued unless the contract is in dispute, in which event the file shall be destroyed 1 year after final payment of the other settlement of the obligation.

210-01.2.5. Requests for DoD personnel to attend or officiate at meetings, ceremonies, etc., as representatives of the Department of Defense. Information on the organization and individual making the request, the nature of the event, and any other details describing the occasion.

Disposition: Destroy not later than 1 year after the event.

210-01.2.6. One-time requests for admittance to installations (speakers, bands, drill teams, tours, etc.). Information concerning the organization and individual requesting admittance to the installation.

Disposition: Destroy not later than 1 year after the event.

210-01.2.7. Inquiries from members of the public to the Department of Defense for information on DoD functions or units, unit insignia, signatures or photos of senior commanders, etc. Information concerning the collectors of such items.

Disposition: Destroy after 1 year or when no longer determined pertinent by annual review.

210-01.2.8. Unsubstantiated reports to the DoD Components from members of the public alleging imminent invasions, plots, and similar events of a delusional nature, and assorted "crank" letters. Information concerning the organization and/or individual providing such details.

Disposition: Destroy after 1 year or when no longer determined pertinent by annual review.

210-01.2.9. Information collected on non-DoD affiliated civilians incident to the personnel security investigation of an affiliated member.

Disposition: Destroy after 1 year or when no longer determined pertinent by an annual review.

210-02. Civil Disturbance Files (NC1-330-76-1). The Attorney General is the chief civilian officer in charge of coordinating all Federal Government activities relating to

civil disturbances. Upon specific prior authorization of the Secretary of Defense or designee, information may be acquired that is essential to meet operational requirements stemming from the mission assigned to the Department of Defense to assist civil authorities in dealing with civil disturbances. Such authorizations shall only be granted when there is a distinct threat of civil disturbance exceeding the law enforcement capabilities of State and local authorities. Information collected in these circumstances shall be disposed of as follows:

210-02.1. Open source listing of Federal, State, and local officials who have official responsibilities on control of civil disturbances obtained before to commitment of Federal troops and routinely maintained for planning purposes.

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

210-02.2. Open source physical data on vital public or private installations, facilities, highways, and utilities, which may be necessary to carry out missions assigned, are obtained before to commitment of Federal troops and routinely maintained for planning purposes.

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

210-02.3. Data that pertains to early warnings of incidents, potential threats, and situation estimates that are obtained from Federal, State, or local investigative or law enforcement Agencies (that is duplicative of files maintained by the originating Agency) before commitment of Federal troops and subjected to evaluation to determine pertinency with no DoD file being created or no DoD information generated.

Disposition: Destroy 60 days after termination of the specific situation of incident.

210-02.4. Data collected or developed by the DoD Components during a period when field acquisition, reporting, or processing activities have been specifically authorized by the Secretary of Defense. This data includes unconfirmed, fragmentary, routine, or transitory material not included as background data in item 210-02.5.

Disposition: Destroy within 60 days after the termination of the civil disturbance.

210-02.5. Documents prepared by Military Department staffs, Agency headquarters, or task force elements that are responsible for directing the activities of field units that are engaged in quelling a civil disturbance, including background data, after-action reports and historical summaries. Such after-action reports and historical summaries shall avoid to the greatest extent possible references to non-affiliated persons and organizations.

Disposition: Permanent. Transfer to the National Archives within 25 years after the situation or event terminates.

211. NONAPPROPRIATED FUNDS (NC1-330-77-4)

Financial records on the operation of nonappropriated fund activities. Refer to 204-06 concerning the Concession Operations Files. For DoD Nonappropriated Fund Employee Personnel Records 217.

211-01. Collection Records

211-01.1. Cash collection receipts.

Disposition: Destroy after 3 years.

211-01.2. Receipt books and duplicate receipts.

Disposition: Destroy after 2 years.

211-01.3. Accounts control cards. These reflect concession incomes.

Disposition: Destroy 1 year after contract terminated provided account is cleared.

211-02. Disbursements

211-02.1. Checks, separate accounts payable vouchers with supporting purchase orders, receiving report invoices, petty cash vouchers, etc.

Disposition: Destroy when 4 years old.

211-02.2. Checks in payment of proceeds of loans or other receivables.

Disposition: Destroy when loans or receivables are closed.

211-03. Concessionaires

211-03.1. Case files containing approved applications, agreements, financial statements, certificates of insurance, data on equipment, etc.

Disposition: Destroy 4 years after termination or cancellation of the agreement.

211-03.2. Letters of complaint, notices of noncompliance with the agreement, reports of contract violations, etc.

Disposition: Destroy 1 year after termination or cancellation of the agreement.

211-04. General Accounting Ledgers. Ledgers showing debit and credit entries and reflecting expenditures in summary.

Disposition: Destroy 10 years after the close of the fiscal year involved.

212. OFFICE OF THE SECRETARY OF DEFENSE (OSD)

212-01. Records of the OSD, the Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense that:

212-01.1. Issue policy, prescribe procedures or effect organizational structures.

212-01.2. Provide executive direction or document major functions.

212-01.3. Pertain to relations with the White House, Executive Office of the President, Congress or the public.

212-01.4. Pertain to foreign affairs.

212-01.5. Prescribe budget policy.

212-01.6. Pertain to litigations and formal legal opinions.

212-01.7. Pertain to major programs and plans.

Disposition: Permanent. Cut off annually and retire to the WNRC. Transfer to the National Archives when 30 years old. The OSD shall reconsider periodically whether or not the cut off date can be lowered.

212-02. Records of the immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense of a routine, non-policy nature with no permanent value or historical significance.

Disposition: Cut off annually and retire to the WNRC. Destroy when 7 years old.

212-03. Files of personnel evaluated for non-career employment in the Department of Defense. (NI-330-94-2). These files consist of referral letters, resumes, SFs 171, position descriptions, White House clearance letters, OPM certifications, and other correspondence relating to the selection and appointment of political appointees.

Disposition: Destroy at the end of the presidential administration during which the individual is hired, or when no longer needed, whichever is sooner, except that instead of destruction, certain pertinent documents may be offered to OSD Personnel and Security for inclusion in the individual's OPF. (OSD Privacy Act System Notice DATSD 03, "Files of Personnel Evaluated for Non-Career Employment in DoD.")

213. DIRECTIVES SECTION FILES

213-01. Directives Section files (consisting of DoD Directives, DoD Instructions, DoD Publications, Administrative Instructions, amendments thereto, other policy issuances under the DoD Directive Program, and supporting documentation)

Disposition: Permanent. Retire to the WNRC when superseded. Transfer to the National Archives when 30 years old. The OSD shall reconsider periodically whether or not the cut off date can be lowered.

213-02. Information Published in the Federal Register. (See note after item 13b)

213-02.1. Files documenting the processing of notices announcing committee meetings, including open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Disposition: Destroy when 1 year old. GRS 16, Item 13a

213-02.2. Files documenting the processing of semiannual regulatory agenda

Disposition: Destroy when 2 years old. GRS 16, Item 13b

214. INFORMATION OPERATIONS AND REPORTS FILES (IO&R)

214-01. Combat and Non-combat Casualty NI-330-96-2 & NI-330-96-3. An IT file that lists the number of U.S. military casualties, combat, non-combat, missing, captured, or dead.

Disposition: a. IT File. Permanent. Prepare the full data file as of September 30 of each year and transfer to the National Archives using electronic medium within 45 days (November 15) along with adequate documentation to read and understand the file and a properly completed NA Form 14097, "Technical Description For Transfer of Electronic Records to the National Archives" (to be completed by Directorate for Information Operations and Reports (DIOR), WHS). b. Hard copy of reports. Permanent. Retire to the WNRC when no longer required for reference.

214-02. Defense Contract Action Data System (DCADS) (NC1-330-78-12). An IT file that contains data on prime contract actions reported on DD Forms 350 and 1057.

Disposition: IT File. Permanent. Prepare the full data file as of September 30 of each year and transfer to the National Archives by acceptable electronic medium within 120 days along with adequate documentation to read and understand the file and a properly

completed NA Form 14097 "Technical Description For Transfer of Electronic Records to the National Archives." IT file containing data on prime contract actions reported on DD Forms 350 over \$10,000 for FY 1966 through FY 1982 and actions over \$25,000 for subsequent fiscal years. Summary data on actions of \$25,000 or less reported on DD Forms 1057 from FY 1984 on are included. Transfer to WNRC by acceptable electronic medium when no longer required for reference.

214-03. RESERVED.

214-04. Forms Management Control Files

214-04.1. Record copy of each form created with related instructions and documentation showing inception, scope, and purpose of the form.

Disposition: Destroy 5 years after related form is discontinued, superseded, or canceled. GRS 16, Item 3

214-04.2. Background materials, requisitions, specifications, processing data, and control records.

Disposition: Destroy when related form is discontinued, superseded, or canceled.

214-05. Reports Control Files. Case files maintained for each report created or proposed, including public use reports. Included are clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Disposition: Destroy 2 years after the report is discontinued. GRS 16, Item 6

214-06. WHS IT/Information Management Files. Documents on the management of WHS IT to include those related to the strategic planning, acquisition, management, and use of IT and implementation of legislative requirements imposed on Federal Agencies' Chief Information Officers.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

214-07. Information Management (formerly 304-05). Documents that develop, establish, and prescribe DoD-wide policy and criteria on management and control of all types of information requirements, including internal, interagency, and public reporting, forms, statistical surveys, and questionnaires and management systems required in the acquisition process, and encompassing all types of techniques of data and information collecting, recordings processing, and reporting. Review the implementation and operations of derivative programs for management and control of information requirements of the DoD Components. Represents the Department of Defense in

development of Federal policy information requirements. Establishes and administers the information requirements levied on the DoD Components, defense contractors, and the general public.

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

215. RESERVED

216. FEDERAL VOTING

216-01. Document prescribing the DoD policy in support of voting and establishing procedures (including reports and promotional materials, such as posters and brochures)

Disposition: Permanent. Hold until publication of Federal Voting Assistance Program Report. Present two copies of the Report and two copies of each Voting Assistance Program pamphlet, brochure or poster not previously sent to NARA to the OSD Records Manager for transmittal to NARA. Audiovisual materials supporting the Voting Assistance Program are subject to 701-10., Audiovisual Records Motion Picture Files.

216-02. Evaluation or procedures. Participation support reports from Military Departments.

Disposition: Destroy when no longer needed in accordance with 103-01.3. (routine background materials).

217. PENTAGON FORCE PROTECTION AGENCY (PFPA)

These are files that document police operations at PFPA offices. These are operational files and their use does not prevent the use of any other administrative, logistical, fiscal, or personnel file authorized elsewhere in this Instruction (N1-330-88-2).

217-01. Staff Inspection Records. Records of staff, general, spot, special inspections, and guard contracts.

Disposition: Cut off annually, destroy after 2 years.

217-02. Line Inspection Records. Line and quarterly line inspections and completed checklists.

Disposition: Cut off annually, destroy after 1 year.

217-03. Field Office Inspections. Documents prepared by the staff inspector from surveys, inspections, or evaluations of PFPA operations to promote coordination, detect problems, ensure compliance with operating procedures, policies, schedules, and orders.

Included are the staff inspector's reports, area commanders' replies, and related reports. Inspection reports on contracts are excluded from this file.

Disposition: Cut off after completion of inspection; destroy after 2 years.

217-04. Safety Agreement Files. Documents on accident and fire prevention, disaster control, or civil defense. Included are proposals, coordination actions, copies of agreements, and related records.

Disposition: Cut off when superseded or terminated; destroy after 2 years.

217-05. Safety Meetings Files. Documents on accident and fire prevention meetings, protection meetings, or comparable group meetings.

Disposition: Cut off annually, destroy after 1 year.

217-06. Safety, Occupational Health, and Fire Prevention Council Files. Documents reflecting deliberations and activities of field office councils on safety, occupational health, and fire prevention. Included are listings of members, agenda, minutes, copies of program documents of schedules and related records.

Disposition: Cut off annually, destroy after 2 years.

217-07. Fire Report Files. Documents concerning fires on DoD-owned or leased premises, or other property that the Department of Defense is accountable. Included are fire reports, investigative reports, ad hoc committee investigations of serious fires, and related records.

Disposition: Cut off annually, destroy after 3 years.

217-08. Accident and Fire Prevention promotion files. Documents resulting from efforts to stimulate supervisory and employee interest in accident and fire prevention. Included are charts, and other materials used in publicizing safety achievements and special events.

Disposition: Cut off annually, destroy after 2 years.

217-09. Disaster and Civil Defense Status Report Files. Reports and records showing the self-protection, shelter, stocking, radiological training, and preparedness of Government buildings against enemy attack, natural disaster, and other emergencies.

Disposition: Cut off annually, destroy after 5 years.

217-10. Security Log Files. Logs kept when recorder tapes are changed, when used to record radio transmissions; records recording opening and closing of secured cabinets and safes; log books containing alarm system codes for various buildings; and tapes

maintained to provide a record of alarms and authorized entry into buildings after duty hours.

Disposition: a. Recording tape logs of radio transmissions: Cut off after 30 days, extract information needed for further reference, re-record, and destroy when no longer needed.
b. All other logs: Cut off annually, destroy after 2 years.

217-11. Physical Security Surveys. Documents on the physical security hazards or deficiencies and recommendations for remedial action. Included are: survey reports, facility and occupant data, threats, and findings and recommendations.

Disposition: Destroy when superseded or obsolete.

217-12. Federal Radio Frequency Management Program. Documents on the policies, rules, and regulations governing the allocation of radio frequencies. These consist of the following files:

217-12.1. Frequency Assignment Subcommittee. Included are applications for frequency assignments, modifications, corrections, and the 5-year review; regional requests for action; regional frequency authorizations; Government master file; and administrative agenda and minutes.

217-12.2. Interdepartment Radio Advisory Committee. Included are National Telecommunications and Information Administration Manual and the weekly agenda and summary of minutes.

Disposition: Destroy when superseded or obsolete.

217-13. Telecommunications Program. These records consist of the following files:

217-13.1. Control Center. Documents on the design, installation, and maintenance of telecommunications equipment used in the zone, district, and regional control center.

217-13.2. National Crime and Information Center (NCIC). Documents such as the NCIC Operating Manual, Code Manual, Update, and Newsletter; control terminal officer assignments; and originating Agency identifier applications.

217-13.3. National Law Enforcement Telecommunications Systems (NLETS). Documents such as the NLETS Operating Manual, Code Manual, Update, and Newsletter.

Disposition: Destroy when superseded or obsolete.

217-14. Occupant Letters Files. Letters from occupants of DoD-owned or leased space that has a PFFPA protection and safety response. They contain correspondence on

safety systems, crime, protection, parking, and related records.

Disposition: Cut off annually, destroy after 1 year.

217-15. Firearm and Badge Record Files. Card files of employees issued firearms and badges. This file is organized by employee name and serial number of equipment.

Disposition: Name: Destroy when employee leaves position and equipment is turned in. Serial Number: Update card as equipment is reassigned.

217-16. Assignment Record Files. Documents reflecting tour of duty schedule, days off, and post assignments for Defense Protective Officer's (DPOs) and contract guards. Records include forms recording hours of duty schedule and related documents.

Disposition: Cut off annually, destroy after 3 years.

217-17. Special Operating Procedures Files. Staff and supervisory DPOs may issue their rules and regulations to DPOs for guidance during the performance of individual duties.

Disposition: Destroy when superseded or obsolete.

217-18. Flag Records. Documents on regulations, proclamations and notices to fly the flag at half staff. Included are requests on the notification list, proclamations, and related records.

Disposition: Cut off annually, destroy after 1 year.

217-19. Record of Time of Arrival and Departure. Documents reflecting entry and exit from buildings (during security hours) files. Register used to record the time of arrival, departure, destination of personnel packages, visitors and vehicles entering or leaving premises. Included are forms recording times of arrivals and departures; these forms are also used by supervisory DPOs when conducting inspection. Forms used by contract guards should be filed under 217-26., Contract Guard Records.

Disposition: Cut off annually, destroy after 4 years.

217-20. Lost and Found Property Files. Documents on the reporting, receiving, accounting for and disposing of lost and found property.

Disposition: For found property, destroy cards and tags when property is restored to its owner. All other records: Cut off annually, destroy after 3 years.

217-21. Physical Evidence Files. Documents on the preservation and accountability of physical evidence.

Disposition: Cut off when property is returned to owner or disposed of, destroy after 2 years.

217-22. Evidence Log Files. Log books or registers of physical evidence obtained during the investigation of crimes.

Disposition: Cut off when all property has been returned to owner or otherwise disposed of, then destroy after 2 years.

217-23. Report of Excess Personal Property Files. Included are forms used when accounting for the disposal of lost, abandoned, unclaimed, or excess Government or personal property.

Disposition: Cut off annually, destroy after 3 years.

217-24. DPO Equipment Record Files. Documents on each DPO for equipment and uniforms issued. Included are measurements, property receipts, and related records.

Disposition: Cut off when employee returns equipment, destroy after 6 months.

217-25. DPO Log Files. Included are:

217-25.1. Security Logs, which are records of notices to Agencies on a security or energy violation found by PFPA; e.g., open safes, open security areas.

217-25.2. Report Logs, or log books on the number assigned to reports written by PFPA units.

217-25.3. Ticket Logs, or log books of traffic tickets issued.

217-25.4. Ticket Log on thefts, or log books on stop-theft tickets issued.

217-25.5. Mobile Reports, or forms used by PFPA mobile units as checklists showing the times that a facility was checked.

217-25.6. Code 44, or records on transport of prisoners, bank escorts, etc.

217-25.7. Activity Logs, or logs documenting daily activities at guard posts.

217-25.8. Building logs, or monthly logs of daily activities within buildings; included are copies of activity log forms.

Disposition: Cut off annually, destroy after 2 years.

217-26. Contract Guard Record Files. Records dealing with all aspects of PFPA. Included is information on guards, firearms, qualifications training certification, sign-in

and -out sheets, technical manager and monitor inspections and related records.

Disposition: Cut off at expiration of contract, hold 1 year and retire to the WNRC; destroy when 6 years and 3 months old.

217-27. Special Protection Measures Files. Documents accumulated covering physical security measures planned and taken to protect Very Important Persons visiting DoD-controlled facilities.

Disposition: Cut off annually, destroy after 2 years.

217-28. Crime Prevention Assessment Files. Documents accumulated from conduction assessments and inspections to evaluate physical protection services, facilities, equipment, and activities. Included are checklists, assessment forms and recommendations, reports, corrective and follow-up actions, and related records.

Disposition: Destroy when superseded or obsolete.

217-29. Crime Prevention Program Files. Correspondence forms from the Crime Prevention Unit. Included are questionnaires, bulletins, notices, and related records.

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

217-30. Law Enforcement Agreement Files. Copies of Agreements and related records on the relationships between, responsibilities of, and actions to be taken by protection officers, groups, and law enforcement officials.

Disposition: Cut off when agreement expires or is terminated, Destroy after 2 years.

217-31. Reimbursable Work Authorization Files. Records included GSA Form 2957, "Reimbursable Work Authorization," from Agencies to request that GSA perform work on a reimbursable basis. This form authorizes the work, controls the amount of work performed, and the dollar value. Included are backup estimates and requests for changes, bills, purchase orders, travel documents, and related records.

Disposition: Cut off annually or on completion of work; destroy after 1 year.

217-32. Staff Hours Distribution Files. Records of staff hours spent by craft employees on any activity or assignment. Included are daily time reports, time sheets, time summaries, and related records.

Disposition: Cut off annually, destroy after 1 year.

217-33. Training Record Files.

217-33.1. Documents on the continuing program of providing training for uniformed and other PFPA personnel in the field including programmed training, sight and sound packages, and instructions by supervisory officers. Included are course curriculums, qualification records, schedules, rosters, training bulletins, and related records.

Disposition: Destroy 5 years after completion of specific training program.

217-33.2. Training Administrative Database. This file consists of information derived from hard copy records authorized for destruction by NARA-approved SF 115s covered elsewhere in this section and is used solely for administrative purposes.

Disposition: Delete when no longer needed. GRS 20, Item 3 (b) (1)

217-34. FPS Academy Records. Documents on training of students at FPS Academy. Included are curriculums, schedules, rosters testing records, attendance records, firearm training and certification, and training aids.

Disposition: Cut off annually, destroy after 5 years.

217-35. Firearms Files. Documents on firearms and firing ranges.

Disposition: Cut off annually, destroy after 2 years.

217-36. Incident Reporting and Investigative Case Files (N1-330-92-7).

217-36.1. Reports related to specific incidents concerning facility problems, property damage, fire drills, and similar matters as well as preliminary and other reports of criminal investigations maintained from the opening of a case until case closure. May include information on sources and evidence, information on non-criminal matters (such as internal affairs investigations, incidents where investigators and police officers are requested to assist the public in emergencies, etc.), and information collected on the following Secretary of Defense (SD) forms (or their successors): SD 541 "Complaint Record"; SD 545 "Incident Report"; SD 545-1 "Interview Sheet"; SD 542 "Accident Report"; SD 550 "Arrest Report"; SD 547 "Defendant/Suspect Statement"; and all narrative information related to cases under investigation.

Disposition: a. Non-criminal activity reports. Place in inactive file upon case closure. Review files at least once a year and destroy all files closed for at least 1 year. b. Criminal activity reports. Cut off when case is closed and place in inactive file area for 3 years. Retire to the WNRC 3 years after cut off; destroy 15 years after cut off.

217-36.2. Information on current and former applicants for the position of PFPA officers.

Disposition: Destroy when 2 years old.

217-36.3. Contingency planning and analysis files pertaining to regional, nationwide, and worldwide terrorist organizations and their potential effects on the security of DoD facilities. These files contain intelligence briefs; tactical, operational and strategic information reports; regional and nationwide contingency analyses; contingency action plans; and information on patterns and trends of potential or actual terrorists or terrorist groups and other activities that could disrupt the orderly operations of DoD-owned or -controlled facilities over which PFPA has jurisdiction.

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

218. MOTOR VEHICLE MAINTENANCE AND OPERATIONS FILES.

These files consist of records created by Organizational Transportation Offices, responsible for maintaining records of maintenance and operations of motor vehicles. These records consist of service logs and reports, vehicle repair and maintenance checkoff sheets, costs ledgers; both hard copy and electronic, claims correspondence and related forms.

218.01. Motor Vehicle Correspondence Files. Correspondence in the operating unit responsible for maintenance and operations of motor vehicles.

Disposition: Destroy/delete when 2 years old. GRS 10, Item 1

218.02. Motor Vehicle and Operations and Maintenance Files. Motor vehicle operating and maintenance records relating to gas and oil consumption, dispatching, scheduling, and service and repair, included are: Records on vehicle deadline reports; Records on vehicle appraisal and requirements reports; and Records on vehicle inspections and test schedules.

Disposition: Cut off quarterly. Destroy/delete when 1 year old. GRS 10, Items 2a & 2b

218.03. Motor Vehicle Cost Files. Motor vehicle ledger and worksheets providing cost and expense data, maintained in hard copy and electronically.

Disposition: Destroy/delete 3 years after discontinuance of ledger or date of worksheet. GRS 10, Item 3

218.04. Motor Vehicle Report Files. Reports on motor vehicles other than accident, operating, and maintenance reports. Included is SF 82, Report of Motor Vehicle Data.

Disposition: Destroy/delete 3 years after date of report. GRS 10, Item 4

218.05. Motor Vehicle Accident Files. Records relating to motor vehicle accidents, maintained by transportation offices, included are: Operator's report of motor

vehicle accident; Investigative reports of motor vehicle accident; and Statement of witness.

Disposition: Destroy/delete 6 years after case is closed. GRS 10, Item 5

218.06. Motor Vehicle Release Files. Records relating to the transfer, sale, donation or exchange of vehicles.

Disposition: Destroy/delete 4 years after vehicle leaves organization's custody. GRS 10, Item 6

218.07. Motor Vehicle Operator Files. Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization of use, safe driving awards, and related correspondence.

Disposition: Destroy/delete 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner. GRS10, Item 7