

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO. *NI-374-89-22*

TO: **GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED *4/3/89*

1. FROM (Agency or establishment)
Defense Nuclear Agency

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION
Directorate for Command Services, Asst for Log & Engr

In accordance with the provisions of 44 U.S.C 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

3. MINOR SUBDIVISION
Support Services Division

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE EXT.


DATE

ARCHIVIST OF THE UNITED STATES

Pauline E. Korpanty

325-1162

7/7/89



6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 10 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE
28 Mar 89

C. SIGNATURE OF AGENCY REPRESENTATIVE

Pauline E. Korpanty

D. TITLE
DNA Records Management Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARS USE ONLY)

1

208 INFORMATION MANAGEMENT FILES.

(See attached revised subject schedule, and inventory data for items 208.16c(2)(a) and 208.16d.)

NC1-374-81-7, 208

copied to agency NCF, NNA 7/11/89

208

INFORMATION MANAGEMENT FILES. These files result from the planning, publishing, and implementation of procedures for managing the creation, maintenance, use, and disposition of DNA records; operation of the DNA reports control system which is designed to control reports, creation of additional reporting requirements, and the elimination of unnecessary reports; procedures to design and control the use, numbering, and distribution of forms; and preparation, review, and issue of publications and maintenance of record and reference sets of publications. These files accumulate primarily in the offices of the DNA Records Management Officer, HQ Forms Management Officer, and Publications Control Officer of the Headquarters Support Services Division; the Military Personnel Division; the Reports Management Officer, Headquarters, DNA; the Records Administrator, Forms Management Officer, and FCDNA Printing Plant, FCDNA; the Records Administrator; Forms Management Officer, and Printing Control Officer, AFRI. (NC1-374-81-7, 208)

208.01

RECORDS MANAGEMENT SURVEY FILES. Documents relating to preparation for, and conduct of, surveys to provide advice and assistance on, or to evaluate the effectiveness of, records management operations. Included are notifications of and reports on, surveys, reports, or corrective action taken, organizational charts, statements of function, copies of directives, lists of personnel responsible for records management, volume of records data, copies of training materials, authorized deviations, drafts, and related documents. (NC1-374-81-7, 208.01)

Records Administrators, Headquarters, DNA, FCDNA, and AFRI:

CUT OFF ANNUALLY, DESTROY WHEN 6 YEARS OLD (i.e. COFF 31 DECEMBER 1989; DESTROY JANUARY 1996). (GRS 16, #7 - EARLIER DISPOSAL IS AUTHORIZED IF RECORDS ARE SUPERSEDED, OBSOLETE, OR NO LONGER NEEDED FOR REFERENCE).

NOTE: The Directorate/Department copy of the survey (filed under 101.06) may be retained until superseded by next survey report, if survey is conducted on a less than annual basis.

208.02

ACCESS TO INFORMATION FILES. Documents relating to DNA procedures and restrictions on the release of classified and unclassified information from files, release of copies, and the granting of access to records for official or unofficial research. Included are case files with requests, approvals/disapprovals, and related papers. (NC1-374-81-7, 208.02)

Office responsible for controlling access to DNA records (DNA Record Management Officer) in the custody of the WNRC and the National Archives:

CUT OFF ON EXPIRATION OF AUTHORIZATION. DESTROY 6 YEARS AFTER CUTOFF.

208.03 **NONSAFEGUARDED INFORMATION RELEASE FILES.** Documents relating to specific instances of furnishing or denying copies of, access to, or information from records which do not contain safeguarded or privileged information. Included are requests for records or approving or denying access. (NC1-374-81-7, 208.03)

DESTROY WHEN 2 YEARS OLD (i.e. COFF 31 DECEMBER 1989, DESTROY JANUARY 1992).

NOTE: These files normally accumulate in offices or activities having custody of extensive files relating to numerous functional areas, such as records holding areas and certain centralized file areas.

208.04 **RECORDS DISPOSITION STANDARDS AND DISPOSAL FILES.** Documents relating to recommendations for disposition standards for DNA records. Included are appraisals, authorizations by Congress or the Archivist of the United States for immediate disposal of closed out records or Archival approval for disposition standards for current records, or disapprovals. (NC1-374-81-7, 208.04)

DESTROY WHEN RELATED RECORDS ARE DESTROYED, TRANSFERRED TO THE NATIONAL ARCHIVES OR WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR REFERENCE PURPOSES.

208.05 **RECORDS LOCATOR AND DISPOSITION FILES.** Documents reflecting files that have been retired. Included are records shipment lists (SF 135s, classified document listings, and related documents). (NC1-374-81-7, 208.05)

Offices of Records Administrators, Headquarters DNA, FCDNA, and AFRI:

DESTROY AFTER RELATED RECORDS ARE DESTROYED, OR WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR REFERENCE PURPOSES.

208.06 **CHARGE-OUT SUSPENSE FILES.** Documents maintained in records holding areas reflecting charge-out and data files are to be returned. Included are suspense slips or authorized charge-out forms. (NC1-374-81-7, 208.06)

DESTROY WHEN LAST ENTRY HAS BEEN MADE.

208.07 **RECORDS HOLDING REPORTING FILES.** (REPORT NO LONGER REQUIRED - files destroyed)

208.08 **RECORDS DISPOSITION STANDARD EXCEPTION FILES.** Document reflecting exception to records disposition standards authorized by responsible records management officials. Included are requests, approvals/disapprovals, and related documents maintained by the Records Administrators, Headquarters, DNA, FCDNA, and AFRI. (NC1-374-81-7, 208.08)

DESTROY WHEN RELATED RECORDS ARE DESTROYED OR WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR REFERENCE PURPOSES.

NOTE: Offices that have been granted exceptions will file the exceptions in the Records Management Folder.

208.09 **REPORTS CONTROL CASES AND REGISTER FILES.** Documents used to control assignment of reports control symbols, approval of one-time reporting requirements, and related documents. (NC1-374-81-7, 208.09)

DESTROY 2 YEARS AFTER THE REPORT IS DISCONTINUED (i.e. COFF 30 SEPTEMBER 1989; DESTROY OCTOBER 1991).

208.10 **FORMS MANAGEMENT REPORTING FILES.** Documents relating to reports on progress in forms management, including worksheets and related correspondence. (NC1-374-81-7, 208.10)

a. DNA Forms Management Officer:

DESTROY WHEN 5 YEARS OLD (i.e. COFF 31 DECEMBER 1989; DESTROY JANUARY 1995).

b. FCDNA and AFRI Forms Management Officers:

DESTROY WHEN 2 YEARS OLD (i.e. COFF 31 DECEMBER 1989; DESTROY JANUARY 1992).

208.11 **NUMERICAL FILES (INTERNAL).** Documents accumulating in offices having authority to approve forms and resulting from consideration, approval/disapproval, control of use, and updating or rescission of specific forms. Included are requests for approval, instructions governing use of the form, and a copy of each edition of the form. (NC1-374-81-7, 208.11)

DNA, FCDNA, and AFRI Forms Management Officers:

DESTROY 3 YEARS AFTER CANCELLATION OF FORM (FORMS CANCELLED IN 1989; DESTROY JANUARY 1993).

208.12 **NUMERICAL FILES (EXTERNAL).** Documents used within the jurisdictional area of the forms management office but approved by other agencies or offices. Included are copies of forms, instructions for use, and coordination papers. (NC1-374-81-7, 208.12)

DESTROY 1 YEAR AFTER CANCELLATION OF FORMS (FORMS CANCELLED IN 1989; DESTROY IN JANUARY 1991).

208.13 **FUNCTIONAL FILES.** A collection of forms, arranged by functional classification, used to assist in taking forms management actions, such as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms. Included are copies of each form used within the area served by the forms management office. (NC1-374-81-7, 208.13)

DESTROY WHEN DISCONTINUED, SUPERSEDED, OR OBSOLETE.

208.14 **FORMS NUMBER REGISTER FILES.** Documents used to record and control the assignment of form numbers, consisting of an entry in the register for each assigned form number. (NC1-374-81-7, 208.14)

DESTROY ON DISCONTINUANCE OR OBSOLESCENCE OF ALL FORMS ENTERED ON THE PAGE OR WHEN A REVISED PAGE HAS BEEN PREPARED.

208.15 **FORMS MANAGEMENT SURVEY FILES.** Documents used in preparing for and conducting forms management surveys to provide assistance and evaluate the effectiveness of forms management programs. Included are notification of visits, organizational charts, statements of functions, applicable forms management directives, forms control and usage data, survey schedules, reports of corrective action taken, and related documents. (NC1-374-81-7, 208.15)

a. DNA Forms Management Officer:

DESTROY 5 YEARS AFTER NEXT COMPARABLE SURVEY; EARLIER DISPOSAL IS AUTHORIZED IF RECORDS ARE SUPERSEDED, OBSOLETE, OR NO LONGER NEEDED FOR REFERENCE.

b. FCDNA and AFRI Forms Management Officers:

Proposed Revised Disposition

DESTROY WHEN 2 YEARS OLD (i.e. COFF 31 DECEMBER 1989; DESTROY JANUARY 1992), OR UPON COMPLETION OF SUBSEQUENT SURVEY.

208.16 **PUBLICATION RECORD SET FILES.** These will consist of one original signed copy of each instruction or change issued at the levels of command specified below. Publications within this set will be filed numerically. Documents described in a and b below will not be charged out or posted. Responsible officials will insure that each record set is complete and that it is retired to the WNRC. The Headquarters Support Services Division authenticates and maintains record sets of DNA Instructions. Publications to be included in publication record sets are limited to those described in a and b below. Items identified in c and d below are categories to be maintained in specially designated offices. The item identified in e below is maintained almost solely at AFRI. (NC1-374-81-7, 208.16)

a. Instructions related to Agency program (mission) functions

- (1) Instructions published in HQ with DNA-wide applicability and in AFREI with Institute-wide applicability:

PERMANENT. CUT OFF ON SUPERSESSION OR OBSOLESCENCE. RETIRE TO WNRC 2 YEARS AFTER CUTOFF (i.e. CUT OFF 31 DECEMBER 1989; RETIRE JANUARY 1992). OFFER TO NATIONAL ARCHIVES IN 5-YEAR BLOCKS WHEN 20-25 YEARS OLD (i.e. OFFER 1983-1987 BLOCK IN JANUARY 2008).

- (2) FCDNA Instructions and FCDNA Supplements to DNA Instructions:

PERMANENT. CUT OFF ON SUPERSESSION OR OBSOLESCENCE. TRANSFER TO FCDNA RHA 2 YEARS AFTER CUTOFF AND TO THE WNRC 5 YEARS AFTER CUTOFF (i.e. COFF 31 DECEMBER 1989; TRANSFER TO FCDNA RHA JANUARY 1990; RETIRE TO WNRC JANUARY 1995). OFFER TO NATIONAL ARCHIVES IN 5-YEAR BLOCKS WHEN 20-25 YEARS OLD (OFFER 1983-1987 BLOCK IN JANUARY 2008).

b. Instructions related to routine Administrative functions (e.g., payroll, procurement, personnel):

DESTROY WHEN SUPERSEDED OR OBSOLETE. (GRS 16, #1a)

c. Operational Manuals (the Joint Nuclear Weapons Publication System (JNWPS); etc.) (NEW)

- (1) Those Related to maintenance and operation of Radiation Sources:

(SEE 605.07.)

- (2) JNWPS, maintained at FCDNA:

(a) Manuals

Proposed Disposition

PERMANENT. TRANSFER TO FCDNA RHA 1 YEAR AFTER SUPERSESSION OR OBSOLESCENCE AND TO THE WNRC 5 YEARS AFTER CUTOFF (i.e. CUT OFF 31 DEC 1989; TRANSFER TO FCDNA RHA JANUARY 1991; RETIRE TO WNRC JANUARY 1995). OFFER TO NATIONAL ARCHIVES IN 5-YEAR BLOCKS WHEN 20 YEARS OLD (i.e. OFFER 1980-1984 BLOCK IN JANUARY 2005).

(b) Case files which document aspects of the development of the manual:

1. Material which documents issues that require resolution due to a controversial nature or historic significance:

Proposed Disposition

RETIRE WITH MANUAL(S) TO WHICH IT APPLIES.

2. Material which relates to administrative changes of a noncontroversial or nonhistoric nature:

Proposed Disposition

DESTROY 1 YEAR AFTER APPLICATION OF THE CHANGE.

d. Director, DNA Policy Letters (Record copy maintained in the Office of the Director, DNA). (NEW)

Proposed Disposition

PERMANENT. CUT OFF ON SUPERSESION OR OBSOLESCENCE. RETIRE TO WARC IN CALENDAR-YEAR BLOCKS WHEN TOTAL VOLUME REACHES 1 CUBIC FOOT. OFFER TO NATIONAL ARCHIVES 20 YEARS AFTER DATE OF LAST ITEM IN SHIPMENT.

NOTE: Copies kept in individual offices will be maintained under 103.03, Policy and Precedent Files, with a disposition of "DESTROY WHEN SUPERSEDED, OBSOLETE, OR NO LONGER NEEDED FOR REFERENCE".

e. Publications other than Instructions and Regulations (AFRI) (NEW):

(1) Central repository of abstracts, manuscripts, manuals, and other AFRI publications (supported by DNA personnel and/or funding) and record copies of other material (including scientific posters) that have been cleared for public release (open publication).

(2) Editing notes and clearance-coordination documents which may be filed with the applicable item in (1) above.

Proposed Disposition

CUT OFF BY CALENDAR YEAR. RETAIN FOR 10 YEARS IN CFA. RETIRE TO WARC. DESTROY WHEN 20 YEARS OLD. (ITEMS PUBLISHED IN 1977; RETIRE TO WARC JANUARY 1988; DESTROY JANUARY 1998).

208.17 PERSONNEL-TYPE ORDER FILES. Publications issued to disseminate information and instructions affecting the status of military personnel. (Headquarters, DNA Army personnel only) (NC1-374-81-7, 208.17)

CUT OFF ANNUALLY. RETAIN IN CFA 5 YEARS AND DESTROY. (DESTROY 1987 BLOCK IN JANUARY 1993.)

Note: Disposition instructions covering orders affecting military members of Joint Service agencies are governed by individual Service regulations.

208.18 REFERENCE SET FILES. Officials responsible for issuing publications (manuals, instructions, and other items of a directive nature) will maintain one set for reference purposes. This set will include: (NC1-374-81-7, 208.18)

- a. A copy of the signed original of those publications included in the "Record Set";
- b. A copy of other publications for which a Record Set is not required (weekly bulletins, etc.); and
- c. A current copy of operational manuals such as JNWPS.

Each folder (or binder) will be distinctly marked "Reference Set" and will be currently posted.

DESTROY WHEN SUPERSEDED, OBSOLETE, OR NO LONGER NEEDED FOR REFERENCE.

208.19 CENTRALIZED BACKGROUND INSTRUCTION FILES. Documents relating to the preparation, review, and issue of DNA or commandwide instructions. Included are recommendations, coordinating actions, concurrences, and similar documents that provide a basis for issuance or that contribute to the content of the publications. (NC1-374-81-7, 208.19)

a. Permanent Instructions:

- (1) HQ DNA and AFRI:

Destroy when 10 years ok.
~~CUT OFF ON SUPERSESSION OR OBSOLESCENCE. RETIRE TO WMRC 2 YEARS AFTER CUTOFF. DESTROY 10 YEARS AFTER CUTOFF (i.e. CUT OFF 31 DECEMBER 1989; RETIRE TO WMRC JANUARY 1992; DESTROY JANUARY 2000).~~

- (2) FCDNA:

Destroy when 10 years ok.
~~CUT OFF ON SUPERSESSION OR OBSOLESCENCE. TRANSFER TO FCDNA RHA 2 YEARS AFTER CUTOFF. DESTROY 10 YEARS AFTER CUTOFF (i.e. CUT OFF 31 DECEMBER 1989; TRANSFER TO FCDNA RHA JANUARY 1992; DESTROY JANUARY 2000).~~

b. Routine Instructions (GRS 16, ^{#1a}~~#1a~~):

DESTROY WHEN INSTRUCTION IS CANCELLED OR SUPERSEDED.

c. Directives Development and Editing. Documents relating to the improvement and development of DNA directives through editing, changing, and rewriting of first drafts. Included are requests for writer-editor service; copies of first and final draft manuscripts; notes and memorandums for record pertaining to conferences with the author, coordination, and research; copies of related correspondence; and a printed copy of the basic directive and each change thereto. (NC1-374-81-7, 208.22)

DESTROY ON REVISION OR OBSOLESCENCE OF THE RELATED DIRECTIVE.

NOTE: Documents maintained by proponent offices will be filed with related records documenting the preparation of the directive.

208.20 **FIELD PRINTING PLANT FILES.** Blueprints, drawings, specifications, and artwork used in preparing illustrations, and board art for reproduction, including photographic copy negatives of forms. (FCDNA only)
(~~NC1-374-81-7, 208.21~~) (~~NC1-374-81-7, 208.20~~)

DESTROY ON PRINTING OF THE PUBLICATION, EXCEPT THAT ARTWORK WHICH HAS CONTINUING USEFULNESS WILL BE RETAINED UNTIL NO LONGER NEEDED.

208.21 **COPYRIGHT AUTHORIZATION FILES.** Documents authorizing the use of copyright material, such as letters and agreements from publishers, authors, or copyright owners. (NC1-374-81-7, 208.21)

DESTROY WHEN 56 YEARS OLD. RETAIN IN CFA OR RHA.

208.22 **DIRECTIVES DEVELOPMENT AND EDITING FILES.** (See 208.19c above.)

208.23 **PRINTING PLANT JOB JACKET FILES.** Production and cost records and related processing data. (FCDNA) (NC1-374-81-7, 208.23)

DESTROY WHEN 3 YEARS OLD OR ON INSPECTION, WHICHEVER IS FIRST.

208.24 **PRINTING AND BINDING REQUISITION FILES.** (NC1-374-81-7, 208.24)

a. Requisitions, work orders, and samples of each unclassified printing job produced by letterpress offset and photodirect processes in excess of 100 copies. (FCDNA)

DESTROY 1 YEAR AFTER COMPLETION OF JOB (JOBS COMPLETED IN 1987; DESTROY JANUARY 1989).

b. Printing Requisitions. Records of printing requisitions maintained by Printing Control Officers at Headquarters, DNA and AFRI.

Proposed Disposition

COFF AT END OF FY; DESTROY 2 YEARS AFTER CUTOFF (i.e. REQUISITIONS CUT OFF 30 SEPTEMBER 1989; DESTROY OCTOBER 1991).

c. Duplication Files. Records of local reproduction activities including acquisition, lease, and utilization of copiers/duplicators maintained by Printing Control Officers at Headquarters, DNA, AFRI, and FCDNA.

Proposed Disposition

CUT OFF AT END OF FY; DESTROY 2 YEARS AFTER CUTOFF (i.e. REQUISITIONS CUT OFF 30 SEPTEMBER 1989; DESTROY OCTOBER 1991).

208.25 **PERMANENT ORDER BACKGROUND FILES.** Documents relating to the preparation, review, and issue of permanent orders. Included are documents reflecting coordinating actions, recommendations, or concurrences and similar documents that provide a basis for issue or contribute to the content. (NC1-374-81-7, 208.25)

Destroy when 10 years old
~~CUT OFF ON SUPERSESION OR OBSOLESCENCE. RETIRE TO WNRC 2 YEARS AFTER CUTOFF. DESTROY 10 YEARS AFTER CUTOFF (i.e. CUT OFF 31 DECEMBER 1989; RETIRE TO WNRC JANUARY 1992, DESTROY JANUARY 2000).~~

208.26 **PERMANENT ORDER RECORD SET FILES.** "Record Set" of permanent orders issued by Headquarters DNA for all DNA elements. Each folder or binder will be distinctly marked "Record Set" and documents will not be charged out or posted. (NC1-374-81-7, 208.26)

PERMANENT. CUT OFF AT END OF CALENDAR YEAR. RETIRE TO WNRC 2 YEARS AFTER CUTOFF. OFFER TO NATIONAL ARCHIVES IN 5-YEAR BLOCKS WHEN 20-25 YEARS OLD (i.e. CUT OFF 31 DECEMBER 1989; RETIRE TO WNRC JANUARY 1992; OFFER 1985-1989 BLOCK TO NATIONAL ARCHIVES JANUARY 2010).

208.27 - 208.29 NOT USED

208.30 **CHRONOLOGICAL READING FILES (DIRECTOR, DNA).** Copies of documents signed by the Director, DNA. (NC1-374-88-1, 208.30)

NOTE: Congratulatory correspondence and other non-substantive documents may be destroyed prior to retirement.

PERMANENT. CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF. TRANSFER TO NATIONAL ARCHIVES IN 5-YEAR BLOCKS WHEN 20-25 YEARS OLD (i.e. CUT OFF 31 DECEMBER 1989; RETIRE TO WNRC JANUARY 1993; TRANSFER 1985-1989 BLOCK TO NATIONAL ARCHIVES JANUARY 2010).