

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO NCL-374-81-11	
DATE RECEIVED 2 OCT 1980	
NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
4-07-82 Date	WITHDRAWN Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)

Defense Nuclear Agency

2. MAJOR SUBDIVISION

Personnel/Administration Directorate

3. MINOR SUBDIVISION

Administrative Services Division

4. NAME OF PERSON WITH WHOM TO CONFER

Pauline E. Korpanty

5. TEL. EXT.

325-7058

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 6 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
SEP 24 1980	<i>Pauline E. Korpanty</i>	Records Administrator

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
301 (210, 211, 214)	<p>PROGRAMING, BUDGETING, AND PROGRAM REVIEW AND ANALYSIS FILES.</p> <p>1. These documents are created in the development of time-phased schedules for obtaining facilities and material required to meet the broad objectives established by HQ DNA plans. They further relate to the formulation and execution of concomitant budgets.</p> <p>2. The documents concern the continuous review and analysis of progress in the execution of approved programs and budgets. Review and analysis is concerned with the qualitative and quantitative evaluation of accomplishment of previously established mission goals and include recommended or suggested changes and revisions.</p> <p>3. These files also relate to the processes of preparing cost and economic analyses and estimates.</p> <p>4. These files accumulate in the Program and Analysis and Budget Divisions of the HQ DNA Comptroller. In addition, they accumulate in program and budget elements of DNA field activities.</p> <p>5. Files accumulated by other organizational elements (within HQ or field elements) in developing and executing programs and budgets for their functional areas are not</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
(301 - continued)	described in this section. Although such files relate to programming and budgeting, functionally they relate to the primary missions of the accumulating offices. Accordingly, records of these elements should be identified under 201.01, Administrative Files.		
301.01 (210-03)	<p><u>PROGRAM AND BUDGET GUIDANCE FILES.</u> Documents relating to the development, review, approval, and issue of program and budget guidance by all echelons of DNA. Included are program objectives; summary budgets; and directives requiring DNA Headquarters preparation, revision, or updating of program and budget guidance to field agencies (essentially extracts from the DNA Five Year Defense Program reflecting those resources programmed for allocation to field agencies by HQ DNA together with statements of policies, priorities, standards and workloads); field agency and lower echelon program and budget guidance to subordinates (may be issued in the form of markups to operating budgets); coordinating actions; operating schedules; and related papers.</p> <p>a. Office of the DNA Comptroller responsible for preparation, approval, and issue: PERMANENT. Cut off at the end of the current FY, hold 2 years, retire to the WNRC; offer to the National Archives when 20 years old.</p> <p>b. Field Agencies:</p> <p>(1) Guidance prepared by the field agency and issued to subordinates: Destroy 6 years after cutoff.</p> <p>(2) Guidance received: Destroy on incorporation in the field agency 5-year program or on supersession or recession.</p>		
301.02 (210-04)	<p><u>DNA BUDGET ESTIMATE FILES.</u> Documents created in the HQ DNA Staff preparation, review, and consolidation of budget estimates and in their submission to the Office of the Secretary of Defense for incorporation in the R0D budget. Included are budget estimates prepared by DNA staff elements for their functional areas of responsibility, minutes of budget committee meetings, consolidated DNA budget estimates, approvals, Defense markups (subject/issues) upon which the President's budget is based, briefings, and presentations on the budget estimates for review offices in DOD and OMB and related papers.</p>		

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(301.02 -	<p>continued)</p> <p>a. Offices responsible for preparation, consolidation, and approval:</p> <p>PERMANENT. Cut off at the end of the current FY, hold 2 years, retire to the WNRC, offer to the National Archives when 20 years old.</p> <p>b. Offices responsible for papers from field elements:</p> <p>Destroy when 2 years old or on discontinuance.</p>		
301.03 (210-05)	<p><u>CONGRESSIONAL BUDGET JUSTIFICATION FILES.</u> Documents accumulated by Headquarters DNA elements and to a lesser extent by field agencies in defending DNA budget estimates before Congress and Congressional Committees. Included are copies of opening statements, documents reflecting expected questions and answers thereto, prepared testimony, coordinating actions, resumes of Congressional hearings and related papers.</p> <p><u>NOTE:</u> SIMILAR DOCUMENTS ACCUMULATED IN NONPROGRAMING AND BUDGETING CHANNELS (I.E., OFFICES RESPONSIBLE FOR STAFF SUPERVISION OF THE PROCESS OR ITEM BEING JUSTIFIED TO THE CONGRESS) SHOULD BE FILED IN THE APPROPRIATE FUNCTIONAL FILES FOR THAT ITEM OR PROCESS.</p> <p>a. Office of DNA Comptroller & office responsible for presenting the justification or testimony:</p> <p>PERMANENT. Cut off at the end of the current FY, hold 2 years, retire to the WNRC, offer to the National Archives when 20 years old.</p> <p>b. Offices of field agencies:</p> <p>Destroy when 2 years old or on discontinuance.</p>		
301.04 (210-06)	<p><u>ANNUAL FUNDING PROGRAM FILES.</u> Documents used to authorize Headquarters and field elements to incur obligations necessary to permit operation while Congress and OMB complete appropriation and apportionment of funds for the new fiscal year. Included are annual funding programs and documents directly related to them.</p> <p>PERMANENT. Cut off at the end of the current FY, hold 2 years, retire to the WNRC, offer to the National Archives when 15 years old.</p>		

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
301.05 (210-08)	<p><u>PROGRAM AND BUDGET INPUT FILES.</u> Documents relating to the furnishing of data for DNA program and budget guidance, formulation, and execution. These files accumulate in Headquarters DNA Staff offices and in offices of field agencies. They reflect data for the various program elements, such as R&D, operations, and communications. Included are schedules, coordination papers, justifications, minutes of meetings, plans, and similar or related documents.</p> <p>a. Offices of the DNA Staff responsible for preparation and submission:</p> <p>(1) Red Books: PERMANENT. Cut off at end of target FY, hold 2 years, retire to the WNRC, offer to the National Archives when 20 years old.</p> <p>(2) White Books: PERMANENT. Maintain in CFA due to frequent reference.</p> <p>b. Other offices: Destroy 2 years after end of target FY or on discontinuance.</p>		
301.06 (210-09)	<p><u>OPERATING AGENCY 5-YEAR PROGRAMING FILES.</u> Documents relating to preparation, review, issue, and change of operating agency 5-year programs. These programs reflect in detail the planned application of resources (programed by DNA for availability) toward accomplishment of the assigned mission, goals, and workloads of Headquarters or field agencies. DNA program guidance amplified, extended, published by operating agencies constitutes the 5-year programs.</p> <p>a. Office responsible for preparation and issue: PERMANENT. Hold 2 years in CFA, retire to WNRC, offer to National Archives when 20 years old.</p> <p>(1) Cut off background papers at the end of current FY.</p> <p>(2) Cut off pages or parts of the program document when superseded, rescinded, or deleted.</p>		

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(301.06 - continued)	b. Other offices: Destroy program documents when superseded or no longer needed for reference and destroy other papers when 2 years old or on discontinuance.		
301.07 (210-10)	<p><u>OPERATING BUDGET FILES.</u> Documents relating to the preparation and submission of budget estimates and Command Operating Budgets (COBs). Lower order estimates and COBs are progressively incorporated into higher order estimates and COBs. The final incorporations (accomplished by field agencies receiving program and budget guidance direct from Headquarters DNA) are forwarded to Headquarters DNA for staff use in preparing and defending the DNA Budget, the President's Budget, and apportionment requests. Included are Command Budget Estimates, draft and final COBs, Military Assistance Program operating budgets and comparable budgets and budget estimates, minutes of program budget advisory committees; and related papers.</p> <p>a. Headquarters offices:</p> <p>(1) Agencywide estimates, COBs, and related papers: PERMANENT. Cut off at the end of the target FY, hold 2 years, retire to WNRC, offer to National Archives when 20 years old.</p> <p>(2) Copies of lower order COBs, estimates and related papers: Destroy 1 year after end of the target FY or on discontinuance.</p> <p>b. Field offices:</p> <p>(1) Final published COBs: PERMANENT. Cut off at the end of the target FY, hold 2 years (FCDNA - in addition, 3 years in RHA), retire to WNRC, offer to National Archives when 20 years old.</p> <p>(2) Other records: Destroy when 3 years old.</p> <p>c. Other offices: Destroy at the end of the target FY or on discontinuance.</p>		
301.08 (211-01)	<u>PROGRAM BRIEFING FILES.</u> Documents related to periodic presentations of proposed programs, approved programs, forecasts, trends and results of the execution of programs. Included are presentation materials, such as charts, vugraphs, and other aids; memorandum of actions directed; record of questions and answers; and related documents.		

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(301.08)	<p>continued)</p> <p>PERMANENT. Cut off on development of a new program. Retire on same schedule as program to which the file applies.</p>		
<u>301.09</u> (211-03)	<p><u>OPERATING PROGRAM PROGRESS REPORTING FILES.</u> Documents which reflect actual performance, progress, accomplishments, deficiencies, and problems in relation to program goals. Included are cost and performance reports, statements of analysis, commander's narratives, summaries, and related documents.</p> <p>PERMANENT. Cut off at end of target FY, hold 2 years, retire to WNRC, offer to National Archives when 20 years old.</p>		
<u>301-10</u> (214-03)	<p><u>COST FACTORS AND DATA FILES.</u> These files include all basic cost data and factors used in developing cost estimates and costs analyses, including complete documentation and costing problems.</p> <p>Destroy on supersession or obsolescence.</p>		