REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

JOB NUMBER

N1-N2-02-4

DATE RECEIVED

10-17-01

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

NOTIFICATION TO AGENCY

1 FROM (Agency or establishment) Department of the Navy	In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10
2 MAJOR SUBDIVISION Navy International Programs Office	
3 MINOR SUBDIVISION Security Assistance Directorate	

4 NAME OF PERSON WITH WHOM TO CONFER Sheri Bell	5 TELEPHONE (202) 764-2849	DATE 12-23-02	ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ___7 8___ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

[X] is not required; [ ] is attached; or [ ] has been requested.

DATE 17 SEP 2001	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE DON RECDS MGR WASH, DC 20374

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Navy International Programs Office is responsible for the Security Assistance Policy within the Department of the Navy. A review of current disposition status in SECNAVINST 5212 5D showed that various Security Assistance dispositions required updating Security Assistance records are created throughout Department of the Navy, but generally at systems commands and Navy International Programs Office. Attached are record descriptions and requested disposition authorities		

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PREVIOUS EDITION NOT USABLE

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

All Copies sent to Agency 1 of 8 10 Newman, NIR

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	SSIC 2202, Assistance To Foreign Governments. Delete SSIC 2202. These records are now included under updated SSIC 4920.5, "Case Record Files". Reason: The terms "Assistance to Foreign Governments" and "Foreign Military Sales" are no longer used as separate categories. They are currently included in "Security Assistance". Security Assistance records in the COMSEC or cryptographic areas are now included with other security assistance files under 4920.5 (item 22 herein).	SSIC 2202	
2	SSIC 2208, Foreign Military Sales. Delete SSIC 2208. See explanation provided under SSIC 2202 above.	SSIC 2208	
3	Preface to chapter 4, Logistics Records, SSIC 4000-4999. Change "FOREIGN MILITARY ASSISTANCE (MUTUAL SECURITY AND MILITARY SALES)" to read "SECURITY ASSISTANCE TO FOREIGN NATIONS". Reason: To use current terminology.	SSIC 4000-4999	
4	SSIC 4000.1, Primary Program Records. Change the last sentence to read: "These records are maintained by the Chief of Naval Operations (CNO), Naval Supply Systems Command (NAVSUP), Headquarters, U.S. Marine Corps (HQMC), Assistant Secretary of the Navy (Installations and Environment) (ASN (I&E)), Assistant Secretary of the Navy (Research, Development and Acquisition (ASN (RD&A)), Navy International Programs Office (Navy IPO), Navy Inventory Control Point (NAV ICP), and other systems command headquarters." Reason: To update the list of commands creating these logistics records.	SSIC 4000.1	
5	Title to SSIC 4900-4999: Change to read: "SECURITY ASSISTANCE PROGRAMS RECORDS". Reason: To use current terminology.	SSIC 4900-4999	
6	Preface to SSIC 4900-4999, Security Assistance Programs Records: Change to read as follows: DISPOSITIONS IN THIS SSIC (4900-4999) APPLY TO RECORDS OF DOD SECURITY ASSISTANCE OFFICES (SAOs) OR DON ELEMENTS. TYPES OF SECURITY ASSISTANCE INCLUDE FOREIGN MILITARY SALES (FMS); FOREIGN MILITARY FINANCING PROGRAM (FMFP); INTERNATIONAL MILITARY EDUCATION AND TRAINING (IMET); DIRECT COMMERCIAL SALES (DCS), INCLUDING EXPORT LICENSE; ECONOMIC SUPPORT FUND (ESF);	SSIC 4900-4999	EDITORIAL CHANGES; NARA APPROVAL NOT REQUIRED

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6 con't	PEACEKEEPING OPERATIONS; LEASES, SALES, LOANS, OR GRANTS OF DEFENSE ARTICLES AND SERVICES; AND GRANT AID. A FORMERLY USED TERM IS MILITARY ASSISTANCE PROGRAM (MAP). OPERATIONAL AND LOGISTICS RECORDS ACCUMULATED AT THE DON LEVEL ARE PERMANENT RECORDS AS PROVIDED IN SSIC 3000, PARAGRAPH 1, AND SSIC 4000, PARAGRAPH 1. Reason: To use current terminology.		
7	Change title of SSIC 4900 to read: "RECORDS OF SECURITY ASSISTANCE OFFICES (SAOs)". Reason: To use current terminology.	SSIC 4900	
8	SSIC 4900.1: Change title to read: "RECORDS OF SAOs UNDER THE EXECUTIVE CONTROL OF THE DEPARTMENT OF THE ARMY OR AIR FORCE". Reason: To use current terminology.	SSIC 4900.1	
9	SSIC 4900.1a: Leave the title unchanged. In the first sentence: Change "MAAGs" to read "SAOs". Delete "assigned" and "of the agency (MDAP)" from the second sentence. Delete third sentence and replace with "(See SSIC 4900.2 below for disposal instructions when DON is the executive agency.)". Reason: To use current terminology.	SSIC 4900.1a	
10	SSIC 4900.1b: Leave the title unchanged. End the second sentence after "program". Reason: to delete a no longer used acronym: "(MDAP)".	SSIC 4900.1b	
11	SSIC 4900.2. Change the title to read: "RECORDS OF SAOs UNDER THE EXECUTIVE CONTROL OF THE DON". Reason: To use current terminology.	SSIC 4900.2	
12	SSIC 4900.2a. Leave the title unchanged. Change "MAAGs" to "SAOs" in the first sentence. Delete "including both classified and unclassified matter" from the first sentence. Reason: To use current terminology.	SSIC 4900.2a	EDITORIAL CHANGES; NARA APPROVAL Not ReQuiReD
13	SSIC 4900.2b. Leave the title unchanged. Change "Joint MAAG" to "Office" in the first sentence. Change "Joint MAAG" to "SAO" in the second sentence. Reason: To use current terminology.	SSIC 4900.2b	

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14	SSIC 4900 2h. Change the title to read "Security Assistance Program Accounts Files". Reason: To use current terminology	SSIC 4900.1h	
15	SSIC 4905, Security Assistance Manpower Records. Delete in its entirety. Reason: 4905.1 - ADP system no longer exists; disestablished in 1982. Presently, funds are managed, not billets. 4905.2 - FMS or MAP billets no longer included in the POM process but FMS Admin. funds are provided by Defense Security Cooperation Agency (DSCA) (formerly Defense Security Assistance Agency (DSAA).	SSIC 4905	
16	SSIC 4910, Grant Aid Records. Change entire section to read "See updated 4920, Security Assistance Records Located at DON Elements." Reason: To provide a cross reference for users of SSIC 4910 or 4960. Grant Aid (4910), Foreign Military Sales (4920), and Foreign Naval Expansion (4960) are all types of Security Assistance to foreign nations. The case files are treated alike, whether grant aid, foreign military sales, or foreign naval expansion. And the dispositions for the policy, directive, and case files duplicated one another. Therefore for brevity and simplicity, we merged 4910, 4920 and 4960 into one all-encompassing disposition.	SSIC 4910	
17	SSIC 4920, Foreign Military Sales Records. Change title to read "SECURITY ASSISTANCE PROGRAMS RECORDS LOCATED AT DON ELEMENTS". Reason: To use current terminology.	SSIC 4920	
18	SSIC 4920.1. Change title to read "POLICY FILES". Change text by adding "security assistance" in front of "policy". Change disposition by replacing "when no longer needed" with "when no longer current". Reason: Shortens title. Specifies type of policy files. Retires "no longer current" policy files rather than "no longer needed" policy files.	SSIC 4920.1	EDITORIAL CHANGES; NARA APPROVAL NOT REQUIRED.
19	SSIC 4920.2. Change title to read "DIRECTIVE FILES". Reason: Shortens title.	SSIC 4920.2	

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20	SSIC 4920.3. Add new 4920.3 as shown below. (See paragraph 22 below for update on Case Record Files.) Reason: Neither SSIC 5000 nor 5400 adequately describe the records below. 3. ORGANIZATION, FUNCTIONS, AND STATUS RECORDS. Documents, newsletters, pamphlets, posters, charts, presentations, briefings, reports to higher authority, or other records depicting the internal organization, relationships, functions, and status of offices performing security assistance functions. ① Destroy when 2 years old.	SSIC 4920.3 (NEW)	
21	SSIC 4920.4. Move current 4920.5, Budget Matters, to 4920.4 Current 4920.4, FMS Case Implementation, is moved to SSIC 4920.6. Title "Budget Matters" remains unchanged. Change first sentence to read: "Documents which establish budgeting principles, policies, systems, and procedures covering security assistance programs, formulation management, and its execution process within DON." Change disposition to read: "Apply appropriate section of SSIC 7000 series." Reason: Permanent budgetary documents are held electronically within a database controlled by Defense Security Cooperation Agency (DSCA). Security assistance documents dealing with budgetary matters and held by DON commands may be disposed following guidance in the SSIC 7000 series.	SSIC 4920.4 (OLD 4920.5)	*See Replacement Text at end of Job (Items 2-4)*
22	SSIC 4920.5. Formerly SSIC 4920.3, FMS Case Record Files. Renumber to SSIC 4920.5. Change title to "CASE RECORD FILES". Change text and disposition in their entirety as shown below. Reasons: To clarify that other security assistance case records may be disposed under the guidance for foreign military sales case records. To specify that commands other than Navy International Logistics Control Office maintain case files. To provide reference to regulations about maintenance of security assistance case files. To provide disposition guidance for specific types of files. "Case Files Accepted by Purchaser" passes along the guidance given in current SSIC 4920.3 with a change to indicate that the case file must be closed, vice supply complete, before it may be transferred. Disposition place is also changed to "local records centers" vice FRC Philadelphia because many of the commands maintaining case files are located remotely from Philadelphia.	SSIC 4920.5 (OLD 4920.3)	

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22 con't	5. CASE RECORD FILES. Records documenting sales to foreign countries; training of foreign military members; etc. Types of cases recorded are Foreign Military Sales; Foreign Naval Expansion; Grant Aid; Military Assistance Program,; Grant, Lease, Loan, or Transfer of Defense Articles; etc. (See introduction to 4900 section for a more inclusive list.) These case files are maintained by Navy IPO, Navy ICP, and Systems Commands, who must maintain the files as prescribed in DOD 5105.38-M, Security Assistance Management Manual and DOD 7000.14-R, DOD Financial Management Regulation, volume 15, chapter 6.	SSIC 4920.5 (OLD 4920.3) CONTINUED	
22a ⑤	a. Case Files Accepted by Purchaser Retire to local FRC when case is closed. Destroy ~~15~~ 10 years after transfer to records center.		NAVY REQUEST 5/22/02
22b ⑥	b. Case Files Cancelled, Refused by Purchaser, or Transferred to Another Agency Retain locally. Destroy 1 year after the latest date of action noted in the case file.		
22c ⑦	c. "Q" Case Files. Security Assistance cases which purchase from the Special Defense Acquisition Fund, administered by Defense Finance and Accounting Service (DFAS), and assigned by Defense Security Cooperation Agency (DSCA) to Navy IPO or Headquarters of Systems Commands. File consists of action officer copy of Letter of Offer and Acceptance (LOA) and background material. (Original LOA is transmitted to DSCA.) Retain ~~on board~~ locally until LOA is signed. Close case following LOA signature and subsequent distribution to DFAS and Purchaser. Destroy 2 years after closure.		NAVY CONCUR 5/3/02
22d ⑧	d. Defense Article Grant, Loan, Lease, or Transfer Files. Handle as 4920.5a (accepted cases) above.		
22e ⑨	e. Cryptographic Equipment/Keying Material Loans or Lease Case Files. Retain case file ~~on board~~ locally until equipment/keying material is returned by the foreign country. After case is closed, apply SSIC 4920.5a for accepted cases above.		NAVY CONCUR 5/3/02

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23	Formerly SSIC 4920.4. Renumber to SSIC 4920.6. Change title to "CASE IMPLEMENTATION RECORDS". Reason: Removes connotation that FMS cases are the only kind of cases implemented. Grant Aid and Foreign Naval Expansion cases, for instance, are treated like Foreign Military Sales cases.	SSIC 4920.6 (OLD 4920.4)	
24	New 4920.6 on Case Implementation Records. Add to the end of the text: "Includes memoranda of agreement between Navy and other DOD components for the exchange of administrative services (formerly 4910.4a and 4920.6b). (Note: Former 4910.4b and 4920.6a, agreements with foreign governments or international organizations, have been moved to SSIC 5710.1.)" Reason: SSIC 4920.6a, permanent records on Agreements with Foreign Governments, more properly belongs to SSIC 5710 (international agreements). Current SSIC 4920.6b, agreements between services, are really case implementation records.	SSIC 4920.6 (OLD 4920.4)	EDITORIAL CHANGES; NARA APPROVAL NOT REQUIRED
25	SSIC 4920.6b. Add new subparagraph and disposition numbered 4920.6b as shown below. Reason. These agreement files are Case Implementation and thus are moved to 4920.6b. b. Agreements Between Navy And Other DOD Components For The Exchange Of Administrative Services Ⓘⓞ Destroy 2 years after termination of the agreement.	SSIC 4920.6b (NEW)	
26	Renumber 4920.6b (All Other Documents) to 4920.6c. Change disposition for "All Other Documents" to Ⓘ "Destroy 1 year after case closure". Reason: Cases in the past have been unclosable because these records were destroyed prematurely.	SSIC 4920.6c (OLD 4920.6b)	
27	SSIC 4920.7. Change title to "FILES OF SECURITY ASSISTANCE SURVEY TEAMS". Reason. Uses current terminology.	SSIC 4920.7	EDITORIAL CHANGE; NARA APPROVAL NOT REQUIRED

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28	SSIC 4920.8. Title remains unchanged. Change text to read: Case and subject files pertaining to Navy's review of, and response to, the export applications submitted to the State and Commerce Departments by U.S. firms/persons for export of defense articles on the U.S. Munitions List and items on the Commodity Control List to foreign firms/governments. Included are export issues related to WASSENAAR agreement multilateral export control lists to pariah states. File contents are applications, internal Navy coordination actions, Navy recommendations and related subject information. Reason. To use current terminology.	SSIC 4920.8	
29	SSIC 4920.8. Change disposition to read: "Retire to local FRC after completion of recommendation to State or Commerce Departments. Destroy 7 years after the latest file action." Reason. Adds Commerce Department as an agency to which Navy provides recommendations. Destruction event is changed from "when 7 years old" to allow file retention in cases where export licenses are requested many years after the original export license.	SSIC 4920.8	
30	SSIC 4940, Packing, Handling, Transportation, and Storage Records. Delete in its entirety. Reason. 4940.1 - Administrative Files, are handled in disposition for case implementation (old 4920.3 and new 4920.6). 4940.2, Implementing Directives and Instructions Relating to FMS and Grant Aid Transportation and Policy, are handled in 4000.1, Logistics, Primary Program Records.	SSIC 4940	
31	SSIC 4960, Foreign Naval Expansion Programs Records. Change entire section to read "See updated 4920, Security Assistance Records Located at DON Elements." Reason· See reason for #16 herein.	SSIC 4960	

EDiToRiAL CHAnGes; NARA APPROVAL NOT REQUIRED.