

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-NU-05-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/22/2021.

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.


Item 1B3, PRIMARY PROGRAM RECORDS, Files and other records of major laboratories and other activities whose primary function is research and development or testing: . Program correspondence and subject files maintained by laboratory officials, divisions, staff and researchers.

Item 12E, . TECHNICAL REPORT FILES, Laboratory Reference Copy.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 9A, 12B, 12C, and 12D are instructions. All other items are superseded by DAA-NU-2015-0003.

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-NY-05-1</i>	
1 FROM (Agency or establishment) <i>Department of the Navy (DON)</i>		Date Received <i>1/28/05</i>	
2 MAJOR SUB DIVISION <i>Office of Naval Research (ONR)</i>		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION <i>Naval Research Lab (NRL)</i>		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER <i>CHARLEY BARTH</i>	5 TELEPHONE <i>202-433-2434</i>	DATE <i>4 Aug 2005</i>	ARCHIVIST OF THE UNITED STATES <i>Lois McCloud</i>
<p>6 AGENCY CERTIFICATION</p> <p>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 <u>4</u> page(s) are not needed now 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,</p> <p><input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.</p>			
DATE <i>1-14-2005</i>	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE <i>Director of Records</i>
7 ITEM NO <i>SSIC 3900</i>	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <i>See attached sheets</i>	9 GRS OR SUPERSEDED JOB CITATION <i>SECNAVINST 5212.5D</i>	10 ACTION TAKEN (NARA USE ONLY)
<i>cc: agency, DR, NWMD, NWMW, NWCTM</i>			

ATTACHMENT 5

PROPOSED REVISION TO NAVY SECNAVINST 5212.5, Chapter 3

SSIC 3900

PRIMARY PROGRAM RECORDS

1b. Files and other records of major laboratories and other activities whose primary function is research and development or testing.

- (1). Official laboratory correspondence filed by Navy Filing Manual accumulated prior to 1959

Permanent. Transfer to NARA when 25 years old after declassification review.

- (2). Official laboratory correspondence filed by SSIC code accumulated after 1959

- (a). SSIC 3900-3999

Permanent. Retire to nearest FRC when 5 years old. Transfer to NARA when 25 years old after declassification review

- (b). All other SSIC codes

Retire to nearest FRC when 5 years old. Destroy when 10 years old.

- (3). Program correspondence and subject files maintained by laboratory officials, divisions, staff and researchers.

Review annually for records to be filed under SSICs 3900.1b(4) below or SSIC 3900.5 (Project case files) of this instruction. Destroy remaining records when superseded, obsolete or no longer needed for reference, whichever is later, not to exceed 30 years.

Note: No lab correspondence described by sub-item (3) and retired to FRCs will be destroyed before ~~2009~~ to allow Navy 5 years to review for permanent records to be included in historically significant Project Case Files or sub-item (4).

- (4). Historically valuable files of scientists and lab administrators. Those materials collected by an individual scientist and considered to document the significant achievements of an individual scientist who is the recipient of national or international recognition for his work and files maintained by high ranking lab administrators (Division directors and above) that contain unique information concerning significant activities and accomplishments of the lab. Selection is to be made by the Laboratory Director of Research or other knowledgeable Navy officials. All non-selected materials are covered by SSIC

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per e-mail
C. Barth

3900.1b(3) of this instruction.

Permanent. Cut off upon the retirement of the scientist or administrator and retire to FRC 5 years after cutoff. Transfer to NARA 25 years after cutoff, after declassification review.

5. PROJECT CASE FILES

Files maintained by Project Managers at laboratories and other activities responsible for research and development functions. Included are project authorization documents; project cards; technical characteristics; laboratory notebooks test and trial results; drawings, specifications and photographs considered essential to document designs, modification and engineering development; all technical and progress reports (including reports received from contractors); notices of completion; and correspondence influencing the direction or course of action taken on a project.

a. Historically Significant Projects

Projects considered (1) significant by virtue of receipt of a national or international award of merit, (2) leading to a significant scientific accomplishment having wide ranging and long term benefits both to the Navy and to mankind or (3) are the result of an important international, inter-agency or joint Federal/non-Federal cooperative effort. Selection is to be made by subject experts at each Navy R&D facility prior to retiring inactive records to FRCs.

Permanent. Navy will conduct an annual review of the projects to identify significant projects when the projects are ten years old. Place in inactive project file upon termination or completion. Identify as Significant Historical Project before retiring to nearest FRC. Transfer to NARA when 30 years old after declassification review.

b. All Other Projects

Place in inactive project file upon termination or completion. Retire inactive file to nearest FRC when 10 years old or when no longer needed for reference, whichever is later. Destroy when 30 years old.

NOTE: No Project Case Files retired to FRC storage will be destroyed before 2009 to allow 5 years for Navy selection of Historically Significant Project Case Files.

2011 per e-mail C. Barth

6. PROGRAM MANAGERS CASE FILES

Case files maintained by Headquarters and System Commands sponsors related to R&D projects, including the management of contracted R&D functions. For projects carried out by Navy labs, files include records similar to those included under SSIC 3900.5. In the case of contracted functions, the files include proposals, evaluations, non-award documentation, award notices, procurement requests, contracts and any other documentation which may relate to the contract. EXCLUDE one copy of each final

report to be maintained under SSIC 3900.12 of this instruction.

a. Historically Significant Projects

Projects considered (1) significant by virtue of receipt of a national or international award of merit, (2) leading to a significant scientific accomplishment having wide ranging and long term benefits both to the Navy and to mankind or (3) are the result of an important international, inter-agency or joint Federal/non-Federal cooperative effort. Selection is to be made by subject experts at each Navy Headquarters or systems command office prior to retiring inactive records to FRCs.

Permanent. Navy will conduct an annual review of the projects to identify significant projects when the projects are ten years old. Place in inactive project file upon termination or completion. Identify as Significant Historical Project before retiring to nearest FRC. Transfer to NARA when 30 years old after declassification review.

b. All others:

Temporary. Cut off file when item becomes operational or at termination of project. Retire to nearest FRC when 10 years old. Destroy when 30 years old.

NOTE: No Program Manager Case Files retired to FRC storage will be destroyed before 2009 to allow 5 years for Navy selection of Historically Significant Case Files. ^{2011 per e-mail C. Barth}

9. LABORATORY NOTEBOOKS

Notebooks or other medium used to record and preserve engineering, scientific, and technical data for R&D projects reflecting progress and how results were achieved.

~~a. Significant Historical Project Notebooks~~

~~Laboratory notebooks-related to Projects identified in SSIC 3900.5a of this instruction.~~

~~Place with project file upon termination or completion of project.~~ ^{Instruction}

b. All other notebooks

Place in inactive file upon termination or completion. Retire inactive file to nearest FRC when 5 years old or when no longer needed for reference, whichever is later. Destroy when 30 years old.

NOTE: No laboratory notebooks retired to FRC storage will be destroyed before 2009 to allow 5 years for Navy selection of historically valuable Laboratory Notebooks. ^{2011 per e-mail C. Barth}

12. TECHNICAL REPORT FILES

Published Technical Reports (TR), Technical Notes (TN), Technical Memorandum (TM),

(Or unpublished manuscript of these reports) prepared in connection with a project or task. These reports summarize the progress, findings, and conclusions reached relative to specific projects. They may also clarify and supplement information contained in laboratory notebooks and other source data. Include published bibliographies and reports received from contractors. **SUBMIT TWO COPIES TO PROJECT SPONSOR.**

a. Official Record Copy

Original copy received by project sponsor at Headquarters or Systems command.

Permanent. Cut off annually and retire to FRC when no longer needed for reference. Transfer to NARA in 5 year blocks when 25 years old after declassification review.

b. Program Manager's Copy

Copy received by project sponsor at Headquarters or Systems command to document fulfillment of contract. File with SSIC 3900.6 of this instruction.

Instruction

c. Project Case File Copy

File one copy of the report in the related-project case file described in SSIC 3900.5 of this instruction.

Instruction

d. Distribution Copy

Send one copy of each publication to DTIC Central Depository for Research Records.

Instruction

e. Laboratory Reference Copy.

Maintained in laboratory or research activity's library.

Destroy when no longer needed for reference.

f. Record set, Naval Research Laboratory

All final reports, at all classification levels, of R&D projects, maintained in chronological order.

Permanent.

Transfer to the National Archives in 5 year blocks when the newest report is 50 years old, after declassification review.

Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.