

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-330-77-13

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 04/13/2021

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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

All items not listed below remain active

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Items 301-01 through 301-10 were superseded by N1-330-92-001.

Item 303-09 was superseded by NC1-330-80-010, item 303-09.

Item 304-02 was superseded by NC1-330-80-010, item 304-02.

REQUEST FOR RECORDS DISPOSAL AUTHORITY
(See Instructions on reverse)

167 items

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

1. FROM (AGENCY OR ESTABLISHMENT)
Office of the Secretary of Defense

2. MAJOR SUBDIVISION
OASD(C)

3. MINOR SUBDIVISION
OASD(C)(A) Records Management

4. NAME OF PERSON WITH WHOM TO CONFER
James S. Nash

5. TEL. EXT.
695-0970

LEAVE BLANK

JOB NO.
NC 1-330-77-18

DATE RECEIVED JAN 5 1977

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

6-17-77 *James B. Rhoads*
Date Archivist of the United States

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 36 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		
1/3/77	<i>James S. Nash</i>	Records Administrator		
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)		9. SAMPLE OR JOB NO.	10. ACTION TAKEN
300	Records of the Assistant Secretary of Defense (Comptroller)			

118-107
Sent to agency, NCW, NNRB-6/21/77

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>300</u>	<p><u>General.</u></p> <p>The Comptroller is the principal staff assistant to the Secretary of Defense for programming, budgeting, auditing and fiscal functions. Unless otherwise indicated permanent files described herein and transferred to the Washington National Records Center (WNRC) will become available to NARS when 25 years old. ADP files are described in a later chapter.</p>	
<u>301</u>	<p><u>Office Administrative Files.</u></p> <p>These files may accumulate in any office to document the performance of their assigned duties. However, all the administrative files listed below seldom accumulate in a single office.</p>	
<u>301-01</u>	<p>Policy Files. Documents concerning the general policy of the Office of the Secretary of Defense as related to the Comptroller's mission.</p>	<p>Permanent. Transfer to WNRC when obsolete or superseded.</p>
<u>301-02</u>	<p>Instruction Files. Documents related to preparing, coordinating, issuing, and interpreting directives, regulatory instructions, and comparable instructional material. These files accumulate in offices responsible for preparation and interpretation of instructions and include coordinating action, studies, interpretations, and published record copies of instructions, such as regulations, supplements, memorandums, circulars, pamphlets, and bulletins; messages used for expeditious interim changes</p>	<p>Permanent. Cut off annually or on supersession or obsolescence, as reference needs require.</p>

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	to instructions; technical newsletters or comparable media used to forward semi-official and authoritative instructions; and official training materials.	
<u>301-03</u>	Administrative files. Documents relating to the overall or general routine administration of finance and fiscal activities, but exclusive of specific files described in this regulation. These files include, but are not limited to—	
	a. Routine comments on instructions, directives, or other publications prepared by another office with primary responsibility. If comments result in additional action affecting the mission or function of the office, documents should be filed with the appropriate mission functional files.	a. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	b. Evaluations of suggestions that do not result in issuing an instruction or establishing a project.	b. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	c. Program and budget documents, management improvement reports, cost reduction reports, and comparable management reports prepared to submit data to offices responsible for these management functions.	c. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>301-04</u>	<p>Agreement files. Documents relating to agreements between elements of DoD and other Federal agencies, or between OSD and other non-Federal organizations or agencies; but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations for the purpose of providing or obtaining various types of support services. The services include logistic, medical, administrative, facilities, and similar support on a one-time or continuing basis; and on a reimbursable or non-reimbursable basis. Included are agreements, agreement checklists, amendments, review comments, related correspondence, and similar documents.</p>	<p>Agreements will be destroyed 3 years after supersession, cancellation, or termination of the agreement.</p>
<u>301-05</u>	<p>Orientation and Briefing Files. Documents used in orientations and briefings given to visitors and newly assigned individuals about the mission, functions, and physical layout of an office. Included are photographs, transparencies or vugraphs, copies of specifically prepared handouts, and related or similar documents.</p>	<p>Destroy on supersession or obsolescence.</p>
<u>301-06</u>	<p>Committee Files. Documents relating to establishing, operating, and dissolving committees which consider, advise, take action, and report on specifically assigned functions. They include joint, interdepartmental, and</p>	<p>Permanent. Cut off when no longer needed for current operations.</p>

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international committees in which OSD participates; as well as committees within all echelons and elements of DoD. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving appointing, and relieving committee members; and related documents.

301-07

Staff Visit Files. Documents relating to schedule or special visits (but not inspections, surveys, or audits) for the purpose of performing staff or technical supervision or for conducting studies. This definition is not applicable to visits made in connection with a specific process or case which should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visits, recommendations, and other directly related documents.

Destroy 1 year after completion of next comparable visit or on completion of related study.

301-08

Reference Paper Files. Documents used to facilitate, control, or supervise the performance of a specific function, process, or action - as distinguished from those official records necessary for documenting performance of a function, process, or action they are used with. Reference paper files consist of the following types of documents:

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
	d. Extracts of reports of inspections, surveys, or audits that pertain to the operation of the mission or function.	d. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	e. Comments on or contributions to news releases or other media furnished to information officers to publicize and promote the mission or functions.	e. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	f. Travel arrangements.	f. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	g. Administration of Internal Security.	g. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	h. Office personnel files. Personnel action, letters of commendation, position description, etc.	h. Destroy 6 months after individual is transferred or is separated.

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a. Notes, drafts, feeder reports, news clippings, similar working papers, and other materials accumulated for preparation of a communication, a study, an investigation, a survey, an inspection, or other action. This definition does not include official and quasi-official recommendations, coordinating actions, and other documents which contribute to or result from preparation of the communication or other record.	a. Cut off on completion of the communication, study, survey, report, or other action. Destroy in block after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized.	
b. Cards, listings, indexes, and similar documents used for facilitating and controlling work.	b. Destroy when no longer needed to facilitate or control work.	
c. Copies of technical documents, intelligence documents, emergency plans, mobilization plans, and similar reproduced materials that do not fall within the description for reference publication files.	c. Destroy when superseded, obsolete, or no longer needed for reference.	
d. Documents received for general information purposes that require no action and are not required for documentation of specific functions.	d. Destroy after 1 year. However earlier destruction is authorized.	
e. Extra copies of documents maintained by action officers which reflect actions taken by the action officer. Such files should not be established unless absolutely necessary.	e. Destroy after 1 year. However, earlier destruction is authorized.	
f. Copies of documents accumulated by supervisory offices, such as chiefs of directorates, divisions, branches, or separate offices. These documents duplicate the record copy	f. Destroy after 1 year. However, documents in the inactive file that require additional action or relate to reopened cases should be brought forward for filing in the current file. Earlier destruction is authorized.	

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	copy filed elsewhere in lower echelon offices of the same organizational element which is responsible for performing the action, process, or function. Such files should be established only when necessary, not in each office of the same organizational element.	
<u>302</u>	<u>Analysis Group Files.</u>	
	Special studies, reviews and opinions reached by the applications of scientific methods of research and engineering to the identification and solutions of complex problems in the area of operating and investment resource utilization.	<p><i>Permanent.</i></p> <p>a. Documents which become part of a case file are permanent. Transfer to WNRC when 5 years old.</p> <p>b. Other studies transfer to WNRC when 5 years' old. Destroy when 12 years old.</p>
<u>303</u>	<u>Principal Deputy Assistant Secretary's Files.</u>	
<u>303-01</u>	Comptroller Issues and Action Files. Documents which represent the cognizance of this office over all important Comptroller issues related to the programming systems, financial and budget policy, the preparation and execution of the budget and matters concerning the balance of payment.	Permanent. Transfer to WNRC when no longer current.
<u>303-02</u>	Plans and Systems.	
<u>303-02.1</u>	Documents which develop and establish financial policy. Studies of the policy, recommended changes, <i>etc. reports, correspondence, and directives.</i>	Permanent. Transfer to WNRC when cancelled or superseded.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>303-02.2</u>	Congressional relations.	
	a. Coordination documents developing DoD reclaims to Congressional Authorization and appropriation actions. Supporting documentation. Documents related to preparation for hearings, proposed statements, proposed answers to anticipated questions.	a. Permanent. Transfer to WNRC when 3 years old.
	b. Minutes of congressional hearings on budget or other comptroller matters.	b. Destroy when no longer required for reference.
	c. Reports published by Congressional Committees concerning comptroller related DoD matters. Armed Services, Budget, Appropriations or other regular or ADHOC Committees.	c. Destroy when no longer required for reference.
	d. Correspondence with Congress on hearings matters.	d. Permanent. Transfer to WNRC when cancelled or superseded.
<u>303-02.3</u>	Balance of Payment. Development of policy documents and actions and maintenance of a report system of DoD documents entering the international balance of trade. Documents which analyze the reporting system to measure the impact of DoD transactions.	Permanent. Transfer policy documents when superseded or cancelled. Reports and analysis of reports are similarly permanent and should be transferred to WNRC when 10 years old.
<u>303-02.4</u>	Budget Matters. Documents which establish budgeting principles, policies, systems and procedures covering all budget formulation, management and execution processes within the DoD and which maintains surveillance of the same. Economic analysis and studies concerning the budget impact. Prepares the budget from input documents developed in its formulation.	a. Permanent. Economic analysis and studies of budget input transfer to WNRC when 5 years old. <i>To documents pertaining</i> b. Policy matters, systems and procedures transfer to WNRC when cancelled or superseded for permanent retention.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>303-03</u>	<p>Construction Files.</p> <p>a. Documents which review, evaluate and recommend on all DoD components' Program Objective Memorandums, budget requests, apportionment requests, and budget execution plans for all military construction, or family housing appropriations and for the areas of national intelligence (or other classified projects), including the Secretary of Defense Contingency Fund.</p> <p>b. Documents which monitor the execution of the budget for the Military Construction and Family Housing Appropriations. Reports and studies which accomplish the same. Policy directives and procedures for the management for these programs.</p> <p>c. Documents which prescribe policies and procedures for the defense Homeowner Assistant Program. Documents which monitor the financial execution of intelligence and classified programs.</p>	<p>a. Permanent. Transfer to WNRC when 3 years old.</p> <p>b. Permanent. Transfer policy documents when superseded or cancelled.</p> <p>c. <i>Permanent.</i> Transfer to WNRC when 3 years old. Make available to NARS when 20 years old.</p>
<u>303-04</u>	<p>Operations Files.</p> <p>a. Documents which review, evaluate and make recommendations on the DoD components' Program Objective Memorandums, budget requests, apportionment requests and budget execution plans for the annual cost of operations and Industrial funds of the DoD.</p> <p>b. Reports of the operations and industrial fund execution of the budget, evaluation of reports which monitor their execution.</p>	<p>a. Permanent. Transfer to WNRC when 3 years old.</p> <p>b. Documents which monitor financial execution of the budget, Transfer to WNRC when 3 years old. Make available to NARS when 20 years old. <i>Destroy when 25 years old.</i></p>

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303-05

Program and Financial Control.

a. Analyses of current and projected financial and quantitative data to ascertain financial requirements and progress in terms of obligations and expenditure rates of DoD's appropriations, and reports on significant trends.

b. Primary uses of computer systems and programs supporting the budget process. ~~Computer reports,~~ users manuals, correspondence with programming and ADP support activities.

c. Documents which develop and review the Five Year Defense Program (FYDP). Instruction which establish procedures for its development and input reports from component activities.

d. Preparation and reviews of the estimates of obligations, expenditures and estimates of annual carryover of availability. Establishment of reprogramming procedures and processes reprogramming action to Congress when appropriate.

e. Documents which prepare fiscal reports, financial statements, charts and graphs to support the budget presentation, studies and economic analyses.

a. Permanent. Transfer to WNRC when 3 years old.

b. Transfer to WNRC 1 year after supersession; destroy 5 years later. (If tape data is permanent; retain reports to WNRC when 3 years old.

~~b. Permanent. Transfer ADP reports to WNRC when 3 years old.~~ *with tape).*

c. (1) Procedures and policy on the FYDP are permanent. Transfer policy documents when superseded or cancelled. (2) Reviews and inputs to the FYDP transfer to WNRC when 3 years old for permanent preservation. (3) FYDP is permanent. Transfer to WNRC when 3 years old.

d. (1) Reprogramming policy and procedures are permanent. Transfer policy documents when superseded or cancelled. (2) Reprogramming actions transfer to WNRC when 3 years old for permanent preservation.

e. Transfer to WNRC when 3 years old for permanent preservation.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
f. Documents which operate and control the Defense Programming Systems (DPS). Review and process of all Program Objective Memorandums (POM) advice and assistance on the preparation of Program Change Divisions and the process of same.	f. Permanent. Documents which operate and control the DPS and POM.	
<u>303-06</u>	Research and Development Files. Documents which review, evaluate and make recommendations in DoD components' Program Objectives Memorandums (POM) budget requests, apportionment requests and budget execution plans for all Research, Development, Test and Evaluation apportionments of the DoD. Studies and reports which monitor the execution of the budget for Research and Development appropriations.	<i>Permanent.</i> Reviews, evaluations of POM's, budget request, studies and reports: Transfer to WNRC when 3 years old. Offer to NARS when 10 years old. <i>25</i>
<u>303-07</u>	Procurement Files. Documents which review, evaluate and make recommendations on DoD component's Program Objectives Memorandums, budget requests, apportionment request and budget execution plans for all procurement appropriations and stock funds of the DoD. Review and analysis of the execution of the budget for procurement appropriations and stock fund accounts.	<i>Permanent.</i> Reviews, evaluations, recommendations, transfer to WNRC when 3 years old. Offer to NARS when 10 years old. <i>25</i>
<u>303-08</u>	Military Personnel Files. Review, evaluations and recommendations on DoD component's Program Objectives Memorandums, budget requests,	<i>Permanent.</i> Reviews, evaluations of POM's, budget request, studies and reports: Transfer to WNRC when 3 years old. Offer to NARS when 10 years old. <i>25</i>

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
	<p>apportionment request, and budget execution plans for active duty military, reserve component and retired military personnel. Reviews and studies which monitor the execution of the budget for military personnel appropriations.</p>	
<u>303-09</u>	<p>Banking, Finance and Professional Development.</p>	
	<p>a. Documents which develop and promulgate banking and foreign financial policies and procedures pertaining to military banking institutions; acquisition, custody, and the use of U.S.-owned and other foreign and excess currencies, military scrip sponsored by DoD; NATO financial matters; participation in other international military organizations' agreements made in connection with support of U.S. forces abroad.</p>	<p>a. Permanent. Transfer to WNRC when cancelled or superseded.</p>
	<p>b. Documents which develop and promulgate policies and procedures in regard to the career development and professional education of military and civilian personnel in comptroller/financial management activities of the Department of Defense.</p>	<p>b. Permanent. Transfer to WNRC when cancelled or superseded.</p>
	<p>c. Training plans for comptroller personnel.</p>	<p>c. Destroy when no longer effective.</p>

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
304	<u>Management Systems.</u>	
<u>304-01</u>	Systems Policy Files.	
	<p>a. Policy directives and procedures which direct and supervise the development and implementation of the programs for improvement of resources and operation in DoD (other than budget systems)</p> <p>b. Assistance to DoD components in efforts to improve management systems.</p> <p>c. Directives which establish and supervise the Accounting Policy, Program and Performance Measurement, and Banking and Finance.</p> <p>d. Correspondence and liaison within DoD, or with other government agencies, international organization and foreign governments on the subject.</p>	<p>a. Permanent. Transfer to WNRC when cancelled or superseded.</p> <p>b. Correspondence providing assistance, destroy when 3 years old.</p> <p>c. Directives are permanent. Transfer to WNRC when cancelled or superseded.</p> <p>d. Transfer to WNRC when 3 years old. Destroy when 25 years old.</p>
<u>304-02</u>	<p>Accounting Policy. Accounting Policies, principles and systems. Reviews and recommendations for approval financial management systems, integrated accounting, financial reporting, appropriated funds, working capital funds and property of the DoD. These policies and principles govern:</p> <p>The intergration of resource management and financial systems.</p> <p>Capital acquisition systems used by DoD and by contractors.</p>	<p>Permanent. Transfer to WNRC when cancelled or superseded.</p>

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
	Use of working capital.	
	Cost accounting and transfer pricing.	
	Collections and expenditures of funds.	
	The administrative control of funds.	
	Uniform account structures and classifications.	
	Financial inventory accounting and reporting for expense and investment items, including government owned property in possession of contractors.	
<u>304-03</u>	<p>Program and Performance Systems. Documents which: Prepare policies, plans and guidance for the maintenance, extension and improvement of the DoD Planning Programming System. This provides broad policy on the entire planning concept for budgeting for budgeting for and designating programs and acquisitions to be pursued in the immediate future and for the next 5 years. Prepares the annual calendar year action schedule for Program/Budget. Significant events and milestones. Prepares policies and objectives to guide development and implementation of subsystems to the Five Year Defense Program. Develops policies, plans and guidance for the measurement of output and performance of DoD activities on a product or capability basis. Establishes policies and principles on the use of economic analysis for investment decision. Analysis of purchase vs. lease, shared use and similar policy matters related to economic tradeoffs.</p>	<p>Permanent. Transfer to WNRC when cancelled or superseded.</p>

Category Number	Description of Records	Authorized Disposition Instruction
304-04	Data Automation.	
	a. Documents which establish overall ADP Program policies and criteria, management objectives and strategy plans. Standards governing the administration of ADP assets. Guidance on privacy and security matters related to ADP systems, copies of concept certificates from components, an economic analysis and identification of milestones.	a. Permanent. Transfer to WNRC when superseded or cancelled.
	b. Reports, classified and unclassified, of ADP resources from component commands. Hardware inventory utilization, manpower, costs, on hand and projected.	b. Transfer to WNRC when 3 years old. Destroy when 10 years old.
	c. Policies on mutual ADP support and reutilization of equipment.	c. Permanent. Transfer to WNRC when superseded or cancelled. <i>Destroy when 25 years old then after</i> d. Permanent. Transfer to WNRC when superseded or cancelled. <i>Destroy when 25 yrs.</i> Copies of purchases orders and contracts transfer to WNRC when 3 years old. <i>after.</i> Destroy when 10 years old.
	d. Policy on acquisition of ADP programming support. Copies of purchase orders and contracts when leased costs are over \$15,000/annual, or purchase cost of program is over \$50,000, or cost of program development exceeds \$200,000.	e. <i>Retain in O&D; review for disposition</i> e. Permanent. Transfer to WNRC when cancelled or superseded. <i>in 20 years.</i>
	f. Liaison with other agencies such as GSA, and OMB on ADP matters.	f. (1) Destroy when 3 years old, unless on policy matters.
	g. Computer programs designed to facilitate analysis or consolidations. Associated user manuals.	(2) Policy Documents, are permanent. Transfer when 5 years old to WNRC. <i>Destroy when 25 years old.</i> g. Destroy when updated or one year after no longer in use. GSA has documentation.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<p>h. Agreements for computer support between OSD and other agencies in DoD. RFP's for OSD ADP service, proposals, contracts, validation of expenditure of funds for ADP support.</p>	<p>h. Destroy 3 years after termination of agreement. Retain for life of contract.</p>	
<p>i. Documents which establish policy on the Defense Computer Institute and annual reports on its operations, such as students trained, expenses, course content, etc.</p>	<p>i. Destroy annual reports when 3 years old.</p>	
<u>304-05</u>	<p>Information Operations and Control.</p>	
<u>304-05.1</u>	<p>(Documents which develop, establish and prescribe DoD-wide policy and criteria relating to management and control of all types of information requirements, including internal, inter-agency and public reporting, forms, statistical surveys and questionnaires and management systems required in the acquisition process, and encompassing all types and techniques of data and information collecting, recordings processing and reporting. Provides for examination of proposed requirements prior to imposition. Reviews the implementation and operations of derivative programs for management and control of information requirements of the DoD components. Represents DoD in development of federal policy and criteria on management and control of internal, interagency and public information requirements. Establishes and administers the information requirements levied on DoD components, defense contractors and the general public.</p>	<p>Permanent. Transfer to WNRC when cancelled or superseded.</p>

Category Number	Description of Records	Authorized Disposition Instruction
304-05.2	Forms and Reports.	
	a. Forms management control files. Numeric forms case files including current and previous editions of the form, work papers, pertinent correspondence, issuance authorizing use of the form, and requests for approval of the form.	<p><i>Permanent. Transfer to WNRC when cancelled or superseded.</i></p> <p><i>a-1. Retain copy of form and supporting policy coordination.</i></p> <p>a. Permanent. Transfer to WNRC when cancelled or superseded.</p>
	b. Forms Number Register Files. Documents used to control the assignment of form numbers.	<p><i>a-2. Case files: Transfer to WNRC when superseded or cancelled. Destroy 20 years after supersession or cancellation.</i></p> <p>b. Destroy on discontinuance or obsolescence of all forms in the register.</p>
	c. Survey Background Files. Documents used to prepare for forms or report management surveys; organization charts functional statements, directives, schedules, forms control and similar data.	c. Destroy when 5 years old.
	d. Reports Control Case Files. Documents reflecting action taken in evaluating the requirement for approval and controlling specific reports. Initial evaluations or reevaluations.	<p>d. Permanent. Cut off on discontinuance of report. Transfer to WNRC. <i>Destroy when 25 years old.</i></p>
	e. Reports Control and Output Register Files. Documents used to control the assignment or reports control symbols and ADP output reports.	e. Destroy when no longer needed for control purposes.
304-05.3	Documents which develop, administer and implement DoD policy for progress reporting, statistical and information planning programs. Prepares summary plan and progress reports for the Secretary and Deputy Secretary of Defense, and the OSD management structure. Develops information	Permanent. Transfer to WNRC when cancelled or superseded.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
	requirements, in collaboration with the OASD's and DoD components, for monitoring their programs and provides them with consultative services in the development and operation of management information systems. Serves as the DoD focal point for responding to information requests from the White House, Congress, Office of Management and Budget, and other external sources.	
<u>305</u>	<u>Audit Files.</u>	
<u>305-01</u>	Defense Audits.	
	a. Documents which plan and develop policies and procedures required for directing and controlling performance of DoD audits or surveys of interservice and Defense-wide programs and significant problem areas anywhere in DoD or Defense contractor activities.	a. Permanent. Transfer to WNRC when cancelled or superseded.
	b. Communications with GAO on matters relating to audits performed or directed.	b. Correspondence with GAO relating to audits (See 305-05)
	c. Communications with ASD offices and military department activities discussing results of audits, coordinating on corrective actions and identifying and selecting areas or functions for audit.	c. Correspondence with the DoD components or the results of audits, corrective action work papers, etc., become part of the case file of the site audit record. Records created prior to July 2, 1975 destroy after 10 years 3 months. Records created on or after July 2, 1975 destroy after 6 years 3 months after the period of the account.

Category Number	Description of Records	Authorized Disposition Instruction
<u>305-02</u>	<p>Audit Policy.</p> <p>a. Policies and plans for contract and internal auditing. Analyses, evaluations, and coordination of audit organizations, programs, operations and reports of the DoD. Summarizes for key officials highlights of internal audit reports from Defense components and obtains follow-up information on action taken. Development of procurement policies, especially cost principles relating to contract auditing.</p> <p>b. Guidance on recruiting, career development, and staff management of auditors.</p>	<p>a. Plans and policies are permanent. Transfer to WNRC when cancelled or superseded.</p> <p>2. Summaries of internal audit reports to be destroyed when no longer required for reference.</p> <p>b. Guidance on recruitment, career development and staff management. Destroy 1 year after superseded.</p>
<u>305-03</u>	<p>Internal Audit Policy.</p> <p>a. Documents which develop policies and plans with respect to internal auditing in the DoD. Defines areas subject to audit. Assures that all Defense components and activities are subject to appropriate internal audit coverage. Analyses, evaluations, and coordination of internal audit organizations, schedules, programs, reports, and operations of the DoD internal audit organizations. Reviews of internal audit reports of the Defense audit agencies and disseminates significant audit results to the Secretary and Deputy Secretary of Defense and to interested DoD offices. Assistance and guidance with respect to any matters relating to the effective performance of the internal audit mission.</p>	<p>a. Plans and policies are permanent. Transfer to WNRC when cancelled or superseded.</p> <p>2. Summaries of internal audit reports to be destroyed when no longer required for reference.</p>

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>305-04</u>	Contract Audit Policy.	
	b. Guidance on recruiting, career development, and staff management of auditors.	b. Guidance or recruitment, career development and staff management. Destroy 1 year after superseded.
	a. Documents which develop policy and procedures to be followed in matters relating to audit of Defense contractors' records. Documents containing technical guidance for the Defense Contract Audit Agency (DCAA) as representative of the ASD(Comptroller). Evaluations of audit instructions developed by DCAA to assure consistency with DoD policies. Documents concerning development of procurement regulations or instructions related to contract audit or contract cost practices.	a. Policies and procedures permanent. Transfer to WNRC when cancelled or superseded.
	b. Reports and working papers related to special studies performed to evaluate the effectiveness of contract audit support of procurement.	b. Destroy when no longer needed for reference.
	c. Evaluations of GAO reports and proposed DoD responses thereto which involve contract audit or DoD cost accounting practices.	c. Destroy GAO report copies, evaluations, and proposed responses after all actions and coordinations have been completed and the documents are no longer required for reference.
	d. Correspondence with ASD offices, military departments, Defense agencies, industry groups, university groups, and public accounting firms on matters affecting the pricing or costing of contracts or the auditing of costs incurred or proposed thereunder.	d. Destroy when no longer needed for reference.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>305-05</u>	<p>Audit Reports.</p> <p>a. Documents which serve as DoD focal point for all GAO audits and investigations; initiates actions for review and evaluation, and coordinated development of views on all GAO reports on Defense matters; maintains surveillance and takes necessary actions to assure the propriety of the views developed; assures that such views are provided to GAO, OMB and the Congress, as appropriate; follows up individual cases to assure that appropriate corrective actions are taken on the problems identified; disseminates to appropriate DoD officials advice of new GAO investigations; and develops policies and procedures related to the foregoing.</p> <p>b. Preparation of overall analyses and summaries of GAO audit reports to provide management perspective on various matters providing such summaries to appropriate DoD officials.</p> <p>c. Conducts special reviews and evaluations of selected DoD internal audit reports.</p> <p>d. General Accounting Office notices of exception (formal or informal) and related correspondence.</p>	<p>a. Policy and procedures relating to auditing are permanent. Files relating to GAO and internal audit reports should be retained for 10 years. Transfer to WNRC when no longer current. <i>destroy when 25 years old.</i></p> <p>b. Permanent. Transfer to WNRC when 6 years old.</p> <p>c. Destroy when 6 years old.</p> <p>d. Dispose 1 year after exception is reported as cleared by the General Accounting Office.</p>

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
e. Copies of certificates of settlements of accounts of accountable officers, statements of differences, and related papers.	(1) Certificates covering closed account settlements, supplemental settlements, and final balance settlements. (2) Certificates covering periodic settlements.	(1) Dispose 2 years after date of settlement, providing certificate is cleared. (2) Dispose when subsequent certificate of settlement is received.
f. Records relating to the availability, collection, custody and deposit of funds, including appropriation warrants (other than records covered by item 1.)	g. Administrative correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. Files used for workload and personnel management purposes. All other files.	f. Dispose 3 years after date of document. g. Dispose after 2 years.
h. Federal personnel surety bond files.	(1) Official copies of the bond and attached power of attorney. (a) Bonds purchased prior to January 1, 1956. (b) Bonds purchased after December 31, 1955. (2) Other bond files, including other copies of bonds and related papers.	(a) Dispose 15 years after bond becomes inactive. (b) Dispose 15 years after end of bond premium period. (2) Dispose when bond becomes inactive or end of bond premium period.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>305-06</u>	Settled Accounts. Settled accounts of accountable offices, consisting of the following records or their equivalents:	Records created prior to July 2, 1975: Destroy 10 years, 3 months after the period covered by the account.
	a. Statements of accountability.	Records created on or after July 2, 1975: Destroy 6 years, 3 months after the period covered by the accounts.
	b. Statements of transactions.	
	c. Related vouchers and schedules.	
	d. Supporting papers.	
	It does not include military and civilian payroll records showing gross and net pay. Nor vouchers and supporting papers covering freight and passenger transportation charges.	

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306

Security Policy.

306-01

Front Office.

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| a. Policy Files. Documents concerning the general policy of the Office of the Assistant Secretary of Defense (Comptroller) as related to the ODASD(SP)'s mission. | a. Permanent. Transfer to WNRC when obsolete or superseded. |
| b. Office personnel files. Personnel actions, letters of commendation, position description, etc. | b. Destroy 3 years after individual is transferred or is separated. |
| c. Orientation and Briefing Files. Documents used in orientation and briefings given to visitors and newly assigned individuals about the mission, functions and physical layout of an office. | c. Destroy on supersession or obsolescence. |
| d. Travel budget files. | d. Destroy after 2 years. |
| e. Cards, listings, indexes, logs and similar documents used for facilitating and controlling work. | e. Destroy when no longer needed to facilitate or control work. |
| f. Documents received for general information purposes that require no action and are not required for documentation of specific functions. | f. Destroy after 1 year. However, earlier destruction is authorized. |
| g. Chronological reading files. | g. Destroy these files five years after cut off. |

Category Number	Description of Records	Authorized Disposition Instructions
306	<u>Security Policy.</u>	
306-02	International Security.	
	a. Security policy, directives and guidelines prepared by ODASD(SP) related to NATO, CENTO, or SEATO or other international defense treaty members.	a. Permanent. Transfer to WNRC when superseded or cancelled.
	b. Directives pertaining to support for NATO, CENTO, or SEATO, or other international defense treaty classified couriers and staff supervision for the US Central Registry.	b. Permanent. Transfer to WNRC when superseded or cancelled.
	c. International General Security of Information and/or Industrial Security Procedures with allied defense forces regarding security policy, operations and arrangements of a security nature.	c. Permanent. Transfer to WNRC when superseded or cancelled. Destroy any duplicative and non-record material annually unless part of a case file.
	d. International Pact Organizations (IPO) (NATO, CENTO, or SEATO) Compromise Cases by US and non-US holders.	d. (1) Dispose of records relating to the compromise of Top Secret defense information or equivalent with all associated case papers, including corrective action taken ten years after cut off. (2) Dispose of similar material relating to the compromise of Secret defense information or equivalent five years after cut off. (3) Dispose of all other such material two years after cut off. Submit SF 135 for authority to destroy.
		(a) Retain (1)(2) and (3) above in file one year after cut off. Have US Central Registry microfilm for retention and disposition as above (destroy pages microfilmed).

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| e. Inspection reports by US Central Registry of US holders of NATO, CENTO, & SEATO information. | e. Destroy five years after cut off. |
| f. Inspection reports by the NATO Office of Security of non-US holders of NATO information. | f. Destroy two years after cut off. |
| g. Inventory reports of US holders of NATO, CENTO, & SEATO information. | g. Destroy two years after cut off. |
| h. International Pact Organizations (IPO) (NATO, CENTO, or SEATO) security policy working papers. | h. Retain until superseded by final IPO regulations/documents, then destroy. |
| i. IPO (NATO, CENTO, or SEATO) security policy directives, regulations, or guidelines. | i. Retain until cancelled or superseded, then destroy. |
| j. Comments/inputs to IPO security policy directives, regulations, or guidelines concerning security policy. | j. Retire to WNRC two years after publication of final document for permanent retention. |
| k. IPO Committees/Groups - Minutes of Meetings | k. Destroy two years after completion/final decision of all agenda items. |
| l. Security Policy (security clauses) comments/inputs to international agreements, memos of understanding, technical arrangements, etc. (another office OFR). | l. Retire to WNRC five years after termination, cancellation, or supersession of agreement, MOU, etc., for permanent retention. |
| m. Security Surveys/Assessments of foreign countries. | m. Retire to WNRC five years after termination of existing agreements with country for permanent retention. |
| n. Security Policy comments/inputs to NDPC papers, including exceptions to policy, annual reviews, foreign military sales, FORDAD, meetings, or directives. | n. Retire to WNRC two years after resolution and/or publication of final document. Permanent retention. |

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o. Congressional correspondence resulting from inquiries, investigations, or other action by members of Congress which establishes or defines policies, plans, program objectives, or responsibilities.

o. (1) Retire record copies for permanent preservation to WNRC one year after case is closed.

(2) Destroy duplicate copies and associated non-record material one year after the close of the case unless part of case file.

p. Routine comments on instructions, directives, or other publications prepared by another office with primary responsibility. If comments result in additional action affecting the mission or function of the office, documents should be filed with the appropriate mission functional files.

p. Destroy after two years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

q. Program and budget documents, management improvement reports, cost reduction reports, and comparable management reports prepared to submit data to offices responsible for these management functions.

q. Destroy after two years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

r. Travel arrangements.

r. Destroy after two years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

s. Office personnel files. Personnel actions, letters of commendation, position descriptions, etc.

s. Destroy six months after individual is transferred or is separated.

Description of Records

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t. Correspondence, transmittal memoranda, instructions, and other related material of a non-policy nature pertaining to internal administration and operations.

t. Dispose of two years after cut off.

u. Orientation and briefing files. Documents used in orientations and briefings given to visitors and newly assigned individuals about the mission, functions, and physical layout of an office. Included are photographs, transparencies or vu-graphs, copies of specifically prepared handouts, and related or similar documents.

u. Destroy on supersession or obsolescence.

v. Chronological reading files.

v. Destroy these files three years after cut off.

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DESCRIPTION OF RECORDS

Authorized Disposition
Instruction

306

306-3

**Industrial Security Clearance
Review.**

a. Policy, directives, and general administrative documents pertaining to the Industrial Security Clearance Program.

b. Reviews and investigative reports pertaining to issuance of, or continuation of clearance.

c. Adverse action on investigative reports.

d. Hearings from applicants for the purpose of supporting eligibility for access authorization.

e. Redacted copies of final Screening Board (opinions, Examiners and Appeal Board opinions and motions.

f. Chronological reading files.

a. Permanent. Transfer to WNRC when superseded or cancelled.

b. Transfer to WNRC 5 years after no longer active. Destroy 20 years later.

c. Transfer to WNRC 5 years after no longer active. Destroy 20 years later.

d. Transfer to WNRC 5 years after no longer active. Destroy 20 years later.

e. ~~Permanent, for Public Inspection.~~ *Retain in OSR; review for disposition in 20 years.*

f. Destroy these files three years after cut off.

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Description of Records

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Instruction

306-04

Security Plans and Programs.

a. Policy and procedures in the form of directives and guidance to the military and civilian security programs of the DoD components including investigative, industrial, ADP and physical security matters.

b. Liaison documents with other U.S. agencies coordinating security policy and procedures.

~~c. Instruction Files. Documents related to preparing, coordinating, issuing, and interpreting directives, regulatory instructions, and comparable instructional material. These files accumulate in offices responsible for preparation and interpretation of instructions and include coordinating action, studies, interpretations, and published record copies of instructions, such as regulations, supplements, memorandums, circulars, pamphlets, and bulletins; messages used for expeditious interim changes~~

a. Permanent. Transfer to WNRC when cancelled or superseded, or two years after file cut off.

b. Permanent. Transfer to WNRC when cancelled or superseded, or two years after file cut off.

~~c. Permanent. Cut off annually or on supersession or obsolescence, as reference needs acquire.~~

*306-04 - c
duplicates
item 301-02*

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~~to instructions; technical newsletters or comparable media used to forward semi-official and authoritative instructions; and official training materials.~~

d. Administrative files. Documents relating to the overall or general routine administration of finance and fiscal activities, but exclusive of specific files described in this regulation. These files include, but are not limited to---

(1) Routine comments on instructions, directives, or other publications prepared by another office with primary responsibility. If comments result in additional action affecting the mission or function of the office, documents should be filed with the appropriate mission functional files.

(2) Evaluations of suggestions that do not result in issuing an instruction or establishing a project.

(3) Program and budget documents, management improvement reports, cost reduction reports, and comparable management reports prepared to submit data to offices responsible for these management functions.

(1) Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

(2) Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

(3) Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

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Description of Records

(4) Extracts of reports of inspections, surveys, or audits that pertain to the operation of the mission or function.

(5) Comments on or contributions to news releases or other media furnished to information officers to publicize and promote the mission or functions.

(6) Travel arrangements.

(7) Administration of Internal Security.

(8) Office personnel files. Personnel action, letters of commendation, position description, etc.

Authorized Disposition

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(4) Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

(5) Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

(6) Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

(7) Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

(8) Destroy 6 months after individual is transferred or is separated.

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| <p>e. Agreement files. Documents relating to agreements between elements of DoD and other Federal agencies, or between OSD and other non-Federal organizations or agencies; but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations for the purpose of providing or obtaining various types of support services. The services include logistic, medical, administrative, facilities, and similar support on a one-time or continuing basis; and on a reimbursable or non-reimbursable basis. Included are agreements, agreement checklists, amendments, review comments, related correspondence, and similar documents.</p> <p>f. Orientation and Briefing Files. Documents used in orientations and briefings given to visitors and newly assigned individuals about the mission, functions, and physical layout of an office. Included are photographs, transparencies or vugraphs, copies of specifically prepared handouts, and related or similar documents.</p> <p>g. Committee Files. Documents relating to establishing, operating, and dissolving committees which consider, advise, take action, and report on specifically assigned functions. They include joint, interdepartmental, and</p> | <p>e. Agreements will be destroyed 3 years after supersession, cancellation, or termination of the agreement.</p> <p>f. Destroy on supersession or obsolescence.</p> <p>g. Permanent. Cut off when no longer needed for current operations.</p> |
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306-04

international committees in which OSD participates; as well as committees within all echelons and elements of DoD. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving appointing, and relieving committee members; and related documents.

h. Staff Visit Files. Documents relating to schedule or special visits (but not inspections, surveys, or audits) for the purpose of performing staff or technical supervision or for conducting studies. This definition is not applicable to visits made in connection with a specific process or case which should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visits, recommendations, and other directly related documents.

i. Reference Paper Files. Documents used to facilitate, control, or supervise the performance of a specific function, process, or action - as distinguished from those official records necessary for documenting performance of a function, process, or action they are used with. Reference paper files consist of the following types of documents:

h. Destroy 1 year after completion of next comparable visit or on completion of related study.

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Description of Records

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| <p>(1) Notes, drafts, feeder reports, news clippings, similar working papers, and other materials accumulated for preparation of a communication, a study, an investigation, a survey, an inspection, or other action. This definition does not include official and quasi-official recommendations, coordinating actions, and other documents which contribute to or result from preparation of the communication or other record.</p> <p>(2) Cards, listings, indexes, and similar documents used for facilitating and controlling work.</p> <p>(3) Copies of technical documents, intelligence documents, emergency plans, mobilization plans, and similar reproduced materials that do not fall within the description for reference publication files.</p> <p>(4) Documents received for general information purposes that require no action and are not required for documentation of specific functions.</p> <p>(5) Extra copies of documents maintained by action officers which reflect actions taken by the action officer. Such files should not be established unless absolutely necessary.</p> <p>(6) Copies of documents accumulated by supervisory offices, such as chiefs of directorates, divisions, branches, or separate offices. These documents duplicate the record copy</p> | <p>(1) Cut off on completion of the communication, study, survey, report, or other action. Destroy in block after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized.</p> <p>(2) Destroy when no longer needed to facilitate or control work.</p> <p>(3) Destroy when superseded, obsolete, or no longer needed for reference.</p> <p>(4) Destroy after 1 year. However earlier destruction is authorized.</p> <p>(5) Destroy after 1 year. However, earlier destruction is authorized.</p> <p>(6) Destroy after 1 year. However, documents in the inactive file that require additional action or relate to reopened cases should be brought forward for filing in the current file. Earlier destruction is authorized.</p> |
| <p>j. Chronological reading files.</p> | <p>j. Destroy these files three years after cut off.</p> |

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306

Security Policy

306-05

Information Security

a. Policy, regulations, standards and criteria for security classification, downgrading, declassification and marking of information and material within DoD and defense industry and for identification of national security information requiring protection through security classification.

a. Permanent. Transfer to WNRC when cancelled or superseded.

b. Documents, including policy guidance and interpretations, for the administration of the DoD Information Security Program.

b. Permanent. Transfer to WNRC when cancelled or superseded.

c. Documents consisting of agenda, minutes, charter and membership of the DoD Information Security Advisory Board.

c. Permanent. Transfer to WNRC 5 years after no longer active.

d. Documents relating to DoD participation in the Interagency Classification Review Committee other than those enumerated in Category 301-06 but not including routine feeder reports.

d. Permanent. Transfer to WNRC 5 years after no longer active.

e. Chronological reading files.

e. Destroy these files three years after cut off.