REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK			
(See Instructions on reverse)		JOB NO			
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TO GENERAL SERVICES ADMINISTRATION, NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, I	DC 20408	DATE DECEM	-0		
1. FROM (AGENCY OR ESTABLISHMENT) Office of the Secretary of Defense		DATE RECEIVE	2 2 MAF	1977	
2. MAJOR SUBDIVISION		<b></b>	NOTIFICATION	TO AGEN	CY
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3. MINOR SUBDIVISION					awn" in column 10
OASD(C)(A) Records Management Bran	ch				
4. NAME OF PERSON WITH WHOM TO CONFER	5. TEL EXT	12-13-	77 Jan	uß.	Rhad
James S. Nash  6. CERTIFICATE OF AGENCY REPRESENTATIVE	695-0970	Date	Archiv	ist of the l	United States
I hereby certify that I am authorized to act for this agend that the records proposed for disposal in this Request this agency or will not be needed after the retention pe  A Request for immediate disposal.  B Request for disposal after a speci	t of <u>17</u> pag riods specified.	e(s) are not n	ow needed f	or the t	ousiness of
retention.	med period (	or time or	request i	or per	rman <del>e</del> nt
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Chapter Records of the Director of Der 1300  Engineering.  All offer dates in excess be re-evaluated in if they can be lower as per conversation as per conversation as of OSD.  Quenchoose	ss of 30 10 years red. s were with Joe	years u to de made Haines			
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7 STANDARD FORM 115 Revised April, 1975 Prescribed by General Services Administration FPMR (41 CFR) 101-11 4

## Description of Records

#### 1300 Defense Research and Engineering.

The Director of Defense Research and Engineering is responsible for:

Scientific and Technical matters: basic and applied research; development, test and evaluations of weapons systems, and Defense material; design and engineering, for suitability, productibility, reliability, maintainability, and materials conservation; and environmental services.

ADP files are described in a subsequent chapter dealing with that subject alone.

#### 1301 Office Administration.

These files may accumulate in any office to document the performance of its assigned duties. All of the administrative files listed below seldom accumulate in a single office. However, there is always an effort to consolidate the official record copy in one area.

#### 1301-01

Policy and Directives. Documents related to preparing, coordinating, issuing, and interpreting policy, directives, regulatory instructions, and comparable instructional material. These files accumulate in offices responsible for preparation and interpretation of policy or 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 to instructions; technical newsletters

Permanent. Cut off annually or on supersession or obsolescence, as reference needs require. Transfer to WNRC. Make available to NARS when **w** years old.

25

or comparable media used to forward semi-official and authorative instructions; and official training materials.

1301-02

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.
- b. Evaluations of suggestions that do not result in issuing an instruction or establishing a project.
- c. Program and budget documents, management inprovement reports, cost reduction reports, and comparable management reports prepared to submit data to offices responsible for these management functions.
- d. Extracts of reports of inspections, surveys, or audits the pertain to the operation of the mission or function.

- a. Destroy after two years or on discontinuance, which-ever 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. Destroy after two years or on discontinuance, which-ever 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. Destroy after two years or on discontinuance, which-ever 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.
- d. Destroy after two years or on discontinuance, which-ever 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 fil-

## Description of Records

- e. Comments on or contributions to news releases or other media furnished to information officers mission or functions.
- f. Arrangements for travel.

- g. Administration of internal security matters.
- h. Office personnel file. Copies of personnel actions, position description.

## 1301-03

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 nonreimbursable basis. Included are agreements, agreement checklishts, amendment, review comments, related correspondence, and similar documents.

## Authorized Disposition Instruction

- e. 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.
- f. Destroy after two years or on discontinuance, which-ever 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. Same as f. above.
- h. Destroy six months after individual transfers or is separated.

Agreements will be destroyed three years after supersession, cancellation, or termination of the agreement. 1301-04

documents.

## Authorized Disposition Instruction

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

Destroy on supersession or obsolescence.

1301-05

Committee Files. Technical Committee and bound files consisting of (1) agendas, directives, minutes of meetings, and reports covering general operations, and (2) papers relating to the establishment, revisions, or termination of individual projects, (3) charter, committee membership and related documents.

- Official file of the committee or board maintained by the Chairman, Secretary or other designee.
- Copies of committees or board files distributed to members.
- 1301-06

Staff Visit Files. Documents relating to scheduled 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.

- a. Permanent. Transfer to WNRC when 5 years old. Make available to NARS when #25 years old.
- Destroy when superseded or obsolete or upon termination of membership.

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

1301-07

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 with which they are used. Reference paper files consist of the following types of documents:

- 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.
- b. Cards, listings, indexes, and similar documents used for facilitating and controlling 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.
- d. Documents received for general information purposes that require no action and are not required for documentation of specific functions.

a. Cut off on completion of the communication, study survey report, or other action. Destroy in blocks after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized.

- b. Destroy when no longer needed to facilitate or control work.
- c. Destroy when superseded, obsolete, or no longer needed for reference.
- d. Destroy after 1 year; however, earlier destruction is authorized.

## Description of Records

- 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.
- f. Copies of documents accumulated by supervisory offices, such as chiefs of directorates, divisions, branches, or separate offices. These documents duplicate the record 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.

# Authorized Disposition Instruction

- e. Destroy after 1 year However, earlier destruction is authorized.
- 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.

#### 1301-08

Program Files. Documents which describe in a narrative way the objectives of the program, the requirements, characteristics, time schedules including milestones, financial plans, proposals and contracts, the monitoring of the program and related papers necessary to manage the program. These are generally case files of major importance.

Permanent. Transfer to WNRC 5 years after program completion. Make availabel to NARS when 40 years old.

## 1301-09

Project Case Files. These are generally maintained at the laboratory or comparable level, reflecting a complete history of each project from development, design, and testing, to completion. They include (when created by agency personnel, or received from contractors) procurement files, consisting of a copy of each contract or agreement for research services with addendums; project authorization documents; project cards; technical

## PERMANENT

Transfer to WNRC for permanent retention 3 years after the case is closed. Make available to NARS when 40 years old.

characteristics; test and trial and photographs considered to be essential to document design, modifications, and engineering development; technical and progress reports; notice of completion or cancellation; reference to the location of prototype models, films, or other items too bulky for inclusion in these files; and course of action taken on a project. These files are generally retained by the military services who edminister to laboratories such as the hival Ordnance ' ab. The OSD volume is estimated at less than 5 cubic feet per year.

Note: This item
and items 1301-12 and
1301-14 concern only the
files accumulated by
the Director of Detense
Research + Engineering of
not records maintained
elsewhere, such as the
laboratories carrying out
the research.

1201-0 Lists, card indexes, or other redia reflecting in an abstract comprehensive manner individual projects administered by OSD.

Permanent. Transfer to WNRC when 5 years old. Make available to NARS when 30 years old.

source data files, punch cards,
eductronic tape, or comparable
media used to collect and
assemble data of a preliminary
or intermediate character
generated from such processes,
as experiments or observations
of a routine, repetitive nature,
and used for reference in
arriving at determinations in
the Conduct of research projects.

Withdrawn

Destroy when determined by competent agency research personnel that the files have served all research purposes. See the chapter on ADP Records.

Description of Records

1301-12 La

Laboratory notebooks containing technical and scientific data accumulating from the conduct or research and development. These are mostly found in laboratories under the administration of a component commander. The OSD volume is estimated at less than 5 cubic feet per year.

- a. Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file.
- b. Notebooks whose data has not been duplicated elsewhere and which would add significantly to the project file. The OSD volume is less than 1 cubic foot per year.
- 1301-13

Technical report files. Consisting of an official file copy of each technical report, or unpublished manuscript of a report, prepared in connection with a project, article reprints, terminal narratives, statistical and graphic compilations, summarizations, and analyses.

1301-14

Drawing and specification files. Consisting of an official file copy of each drawing and specification showing final testing and technical characteristics of items developed. Most of these records are in the custody of the component commanders.

Authorized Disposition Instruction

See note under item 1301-09.

a. Dispose 6 months after completion or termination of the related project or projects.

b. Permanent. Transfer to WNRC 3 years after program completion. Make available to NARS when 30 years old.

Permanent. Transfer the final official report to WNRC 3 years after program completion. Make available to NARS when 40 years old. Retain other technical file material for 3 years then destroy.

Permanent. Transfer to WNRC 3 years after program completion. Make available to NARS when 40 years old. Volume is small for OSD; estimated at less than 5 cubic feet/year.

See note under item 130/-09.

## Category

## Number

Description of Records

## 1301-15

Correspondence files of a general administrative or housekeeping nature, (exclusive of papers containing scientific or technical data) maintained by offices other than those referred to in Item 1301.

## Authorized Disposition Instruction

Destroy when two years old.

### 1301-16

Project control files consisting of copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel, not to be of sufficient value for incorporation in project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.

Dispose upon completion or cancellation of projects or earlier, as they serve their purpose.

## 1301-17

Summary progress reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom.

- a. Copies of reports retained by reporting offices.
- b. Feeder reports used for compilation of consolidated reports, except as indicated in c below.
- c. Consolidated reports, consisting of an official file copy of each consolidated report and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports.
- a. Dispose 1 year after completion or cancellation of related projects.
- b. Dispose upon submission of consolidated reports.

# c. Dispose upon submission of consolidated reports.

Permanent. Make available to NAKS when to years old.

programs based on existing or

potential threats revealed by

intelligence analysis.

seded by more corrent

analysis. Make available

to NARS when 40 years old.

Authorized Disposition

Instruction

PERMANENTI Transfer to WNRC 1 year after
c. Bestroy 5 years after
entify situation has been remedied.
Make available to NARS
eign when so years old.

## 1303 Test Evaluation Files.

## 1303-01

Strategic and Support System Test & Evaluation. Reviews of test and evaluation plans submitted by the armed services and assessment of results. uments which monitor tests and evaluations conducted by the services for the Defense Systems Acquisition Review Council (DSARC) programs. Reports to the Deputy Secretary of Defense at critical milestones of test and evaluation cycle. Documents pertaining to the test and evaluation of foreign systems for possible DoD use.

Documents which examine

voids which require further analysis in the area of foreign

military assessment.

intelligence reports and identify

#### PERMANENT

Transfer to WNRC 3 years after program completion. Make available to NARS when 40 years old.

### 1303-02 Test Resources

- a. Documents providing policy direction and planning guidance concerning the operations and assignment of test programs of the National and major service ranges. These are such as the weapons ranges, White Sands Missile Range, Proving Grounds, Air Test Centers, etc.
- b. Reviews examining the adequacy of the ranges to meet requirements and directives which insure the avoidance of duplication. Reports examining the compliance and reviewing the adequacy.
- c. Record documents of the Major Range and Test Facility Committees. Membership, charter, agendas, reports, and minutes of meetings.

- a. Permanent. Transfer to WNRC when superseded or obsolete. Make available to NARS when 40 years old.
- b. Destroy five years after supersession by a more current review or directive.
- c. Permanent. Transfer to WNRC when five years old. Make available to NARS when 40 years old.

1303-03

# Authorized Disposition Instruction

## PERMANENT

Transfer to WNRC 3 years after program completion.
Make available to NARS when 40 years old.

## 1304 Program Control and Administration.

Tactical Systems Test and

and assess the results.

Documents which initiate and coordinate joint T&E programs.

Reports at critical milestones.

Evaluations. Documents which

plans, monitor their progress

review Tactical Systems T&E

## 1304-01 Program Control

- a. Documents pertaining to all programming and financial activities connected with the RDT&E program including reprogramming requests, the release of deferred funds and requests from the Emergency Fund.
- b. Program Index of responsibility and programming system records.
- c. Arrangements for Computer support for ODDR&E activities.
- d. Documents pertaining to across-the-board technical support programs, general purpose military construction projects, R&D manpower and formal reviews of all programs.
- e. Management reports and technical information.
- f. New legislation within DDR&E.

PERMANENT a. Transfer to WNRC 3 years after program completion. Make available to NARS when 40 years old.

## PERMANENT

- b. Transfer to WNRC 3 years after program completion. Make available to NARS when 40 years old.
- c. Arrangements for computer support as this is on a sharing basis in-house and is in the nature of an agreement. Destroy one year after termination.
- PERMANENT d. Transfer to WNRC 3 years after program completion. Make available to NARS when 40 years old.
- e. Transfer to WNRC 3 years after program completion.
  Make available to NARS when 40 years old.
- f. Transfer to WNRC 3 years after program completion.
  Make available to NARS when years old.

25

## Description of Records

g. Focal point for GAO reports.

# Authorized Disposition Instruction

PERMANENT g. Transfer to WNRC 3 years after program completion. Make available to NARS when years old.

## Policy and Planning.

Planning. Documents which advise on the determination and development of required plans and policy for the effective and efficient management of the R&D Requirements generating process, area coordinating papers, development concept papers, and systems engineering. Policies and staff supervision for operation of the Defense Systems Management School.

Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when respectively years old.

1305-02

Systems Acquisition. Documents developing positions for review by the Defense Systems Acquisition Review Council (DSARC). Documents coordinating the work of the various offices in DDR&E in the preparation of justification for a system acquisition. Briefs and defenses of systems acquisitions.

Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.

## 1305-03 Engineering Policy.

- a. Documents establishing engineering policy and standards, particularly in regards to performance criteria, reliability, and maintainability and survivability.
- b. Documents which review major programs for compliance with sound engineering practices.
- a. Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when ### years old.
- b. Destroy five years after program completion.

Category Number	Description of Records	Authorized Disposition Instruction
1306	Research and Advanced Technology.	
1306-01	Electronics and Physical Sciences. Reviews, analysis, and evaluations of DoD technology programs in electronics, associated solid state physics, electronic development and computer and communications applications. Documents which monitor the related plans, policies, and procedures of the military departments to assure effective implementation. Technical reviews of projects in the physical sciences. Assessments and policies concerned with DoD sponsored research carried out by industry or educational industry or educational institutions. Reviews and evaluations of the DoD Research Program.	Permanent. Transfer to WNRC when obsolete or super- seded. Make available to NARS when 40 years old.
1306-02	Environmental and Life Sciences. Reviews, analysis and evaluations of DoD programs in the area of medical and life sciences, environmental sciences, social and behavioral sciences, chemical warfare, and biological defense. Documents which monitor the plans, policies, and procedures of the Military Departments to insure implementation. Reviews and evaluations of the DoD inhouse Laboratories.	Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when #9 years old.
1306-03	Engineering Technology. Reviews, analyses and evaluations of technical contentand responsiveness in engineering requirements.  DoD technology progrms in area of airframes and aerodynamics, aircraft, rocket and missile propulsion, materials and structure, ordinance and land and sea vehicles. Documents which monitor the managerial plans, policies and procedures of the Military Departments to	Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.

Category Number	Description of Records	Authorized Disposition Instruction
	ensure effective implementation of correct engineering technology.	
1307	Strategic and Space Systems.	
1307-01	Defensive Systems Files. Reviews and evaluations of military programs and proposals for R&D which would provide for strategic defense against attack; aircraft and antimissile systems, air-defense ground environment systems, communications and display required for effective control, and related developments.  Space-based systems, including surveillance, tracking, mission assessment; active defense measures and related developments.  Recommendations for appropriate action and funding of all such programs. Studies and plans to meet the future needs of defense.	Permanent. Transfer to WNRC when obsolete or superseded. Make available to Nars when 40 years old.
1307-02	Offensive Systems. Reviews and evaluations of military programs and proposals for R&D for strategic attack to include aircraft, missiles, ships, weapons systems, ICBM and electronics systems used for their control. Plans and recommendations for appropriate action and funding for such programs.	Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.
1307-03	Space and Advanced System.	Permanent. Transfer to WNRC

Reviews and evaluations of

programs.

military programs and proposals

for space and advanced systems such as radiation weapons, tactical warning, airbreathing vehicles, and orbit to orbit. Studies and analyses of potential future problems in maintaining effective forces. Planning and budgeting documents for assigned

ansfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.

Category Number	Description of Records	Authorized Disposition Instruction
1307-04	SALT Support. Scientific and engineering support documents directed towards current strategic policy issues associated with discussion alternatives in the Strategic Arms Limitation Talks and, in addition, scientific and engineering support documents directed towards current strategic policy issues associated with a comprehensive test ban treaty and mutual balanced force reductions with the USSR.	Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.
1308	Tactical Warfare Programs.	
1308-01	Air Warfare Files. Plans for the allocation of development resources between air warfare, deep-strike, counter-air, defense suppression, and tactical reconnaissance.  Documents which manage the coordination, and which proposed a development budget. Reviews of development and prototype production activities conducted under the authority of the Area Coordination Papers.	Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.
1308-02	Land Warfare Files. Plans for the allocations of development resources between the various areas comprising land warfare: Close combat, fire support, field Army air defense and battle field surveillance. Documents managing the preparation and coordination of major development activities in land warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations	Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.

for a budget for specific land

warfare developments.

<u>1308-03</u>

Ocean Control. Plans for the allocation of development resources between the various areas comprising Ocean Control: Fleet Offensive Operations, Antisubmarine Warfare, and Ocean Surveillance. Documents managing the preparation and coordination of major development activities in Ocean control. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific ocean control developments.

Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.

1308-04

Combat Support. Plans for the allocation of development resources between the various areas comprising Combat Support: Tactical Air Command and Control, Operational Support, Training Support and Logistics. Documents managing the preparation and coordination of major development activities in combat support. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Documents of the Research and Development Subgroups of the DoD Advisory Committee on Federal Aviation which coordinates programs of interest to the FAA, DoD and the Military Departments. Committee agenda and minutes of meetings.

Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.

1309

International Programs. Documents providing guidance and technical direction to international R&D efforts through exploration and establishment of cooperative research, development and production programs with U.S. Allies for weapons systems to increase commonality, improve effectiveness, reduce duplications and redundancy and realize cost savings.

Permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 40 years old.