

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-330-78-07

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Item 2 (FN 213) remains 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## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

Item 1 (FN 212) is superseded by N1-330-11-010

**REQUEST FOR RECORDS DISPOSAL AUTHORITY**  
(See Instructions on reverse)

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  
Assistant Secretary of Defense (C)

3. MINOR SUBDIVISION  
Washington Headquarters Services Records Manager

4. NAME OF PERSON WITH WHOM TO CONFER

J. E. Haines

5. TEL. EXT.

695-0970

LEAVE BLANK.

JOB NO

**NC 1-38C-78-7**

DATE RECEIVED

**6 MAR 1978**

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

*4-12-78* *James E. O'Neil*  
Date *Archivist* 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 2 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 24 Feb 78	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>James S. Nash</i> James S. Nash	E. TITLE Records Administrator
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
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7. ITEM NO. Addition to: Chapter 200	8. DESCRIPTION OF ITEM Administration (See attached sheet)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
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*Adds new  
file numbers to  
Administrative Instruction  
No. 15*

*3 items*

115-10 *Copies to agency, NCW, NUB, NNM  
8/11/78 plus*

Category  
Number

Description of Records

Authorized Disposition  
Instruction

212

Office of the Secretary of Defense

a. Records of the Office of the Secretary of Defense, the Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense which: (1) issue policy, prescribe procedures or effect organizational structures; (2) provide executive direction or document major functions; (3) pertain to relations with the White House, Executive Office of the President, Congress or the public; (4) pertain to foreign affairs; (5) prescribe budget policy; (6) pertain to litigations and formal legal opinions; and (7) pertain to major programs and plans.

a. Permanent. Cut off annually and transfer to WNRC. Offer to NARS when 40 years old. OSD will periodically reconsider whether or not the offer date can be lowered.

b. Records of the immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense of a routine, non-policy nature with no permanent value or historical significance.\*

b. Cut off annually and transfer to the WNRC. Destroy when 7 years old.

213

Directives Branch Files

Directives Branch Files consisting of DoD Directives, Regulations, Instructions and similar policy issuances. Supporting documentation with such papers as coordination sheets, comments, referenced documents, marked-up copy, etc.

Permanent. Transfer to WNRC when superseded or no longer required for reference. Offer to NARS when 40 years old. OSD will periodically reconsider whether or not the offer date can be lowered.

\*Note: Item 212(b) consists of the Secretary's, Deputy Secretary's, Under Secretaries' and Assistant Secretaries' copies of records which were appraised as disposable in the disposition jobs which form the basis for OSD Administrative Instruction 15, January 11, 1978.

5/19/08

## NOTIFICATION FOR PERMANENT ELECTRONIC RECORDS

### BASIC INFORMATION

**1. NAME OF AGENCY:**

Washington Headquarters Services, Directives Division

**2. NAME OF ELECTRONIC SYSTEM:** N/A

**3. ORGANIZATIONAL UNIT(S) OR AGENCY PROGRAM WHICH RECORDS SUPPORT:**

WHS Directives Division in support of the Director, Administration and Management.

**5. CURRENT DISPOSITION AUTHORITY REFERENCE(S):**

NARA Job Number NC1-330-78-7, FN 213-01, Directives Branch Files

**6. FORMAT(S) OF THE ELECTRONIC RECORDS:**

\_\_\_\_\_ SCANNED IMAGES OF TEXTUAL FILES\*

  X   RECORDS IN PORTABLE DOCUMENT FORMAT (PDF)\*

\_\_\_\_\_ DIGITAL PHOTOGRAPHIC RECORDS\*

\_\_\_\_\_ DIGITAL GEOSPATIAL DATA RECORDS

\_\_\_\_\_ E-MAIL MESSAGES WITH ATTACHMENTS\*

\_\_\_\_\_ OTHER (e.g., database, digital video recordings, word processing documents, computer assisted drawings, etc.)

IF OTHER, SPECIFY: \_\_\_\_\_

**\* For those formats marked with an asterisk (\*), see line 11 of this form**

**7. PERSON WITH WHOM TO CONFER** Mrs. Luz D. Ortiz, WHS Records Manager, (703) 696-4959  
Luz.Ortiz@WHS.MIL

**8. NAME OF AGENCY REPRESENTATIVE:** Robert Storer, OSD Records Administrator    **DATE:**  
July 7, 2008

### ADDITIONAL INFORMATION

[See attached memo dated May 28, 2008]

## 9. TRANSFER AND ACCESSION INSTRUCTIONS

[Transfer refers to when non-current records are moved to offsite storage. Accession refers to when permanent records are transferred to NARA legal custody]

[Choose one]

\_\_\_\_\_ Transfer and accession instructions specified in previously approved schedule will remain the same for the electronic records

☒ Transfer and/or accession instructions will be modified in the case of electronic records as follows:

Upon approval of this agreement, transfer all eligible (30 years old) electronic records directly to NARA. Pre-accession all additional records in 5-year blocks to NARA. Legal custody will transfer 30 years after transfer.

## 10. SCOPE OF AUTOMATION

DATE OF FORMAT CHANGE: April 1, 2006

[Date when electronic records were first created]

ALL RECORDS COVERED BY [PREVIOUSLY APPROVED AUTHORITY] THAT ARE CREATED AFTER [DATE OF FORMAT CHANGE] WILL BE MAINTAINED ELECTRONICALLY

☒ YES

\_\_\_\_\_ NO (IF NO, SPECIFY WHICH RECORDS WILL BE MAINTAINED IN HARD COPY)

[In some cases, all records covered by a previously approved authority will be created electronically. In other instances, some records covered by the previously approved authority (e.g., records of some agency offices) will continue to be created and maintained in hard copy. For planning purposes, it is important for NARA to know this.]

ALL RECORDS CREATED [BEFORE DATE OF FORMAT CHANGE] WILL BE CONVERTED TO AN ELECTRONIC FORMAT:

☒ eYES

\_\_\_\_\_ NO

[Sometimes, when agencies implement electronic recordkeeping, they convert their older hard copy records to an electronic format. In other cases, they retain older files in hard copy and only implement electronic recordkeeping on a day-forward basis. For planning purposes, it is important for NARA to know this.]

IS THERE AN ELECTRONIC INDEX/FINDING AID TO THESE RECORDS?

\_\_\_\_\_ YES (IF YES, DESCRIBE)

☒ NO

## 11. TECHNICAL INFORMATION

Technical information requirements for these types of electronic records are specified in NARA guidance available at <http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>. If one of these formats was identified in line 6, please complete and attach the appropriate certification form for the specific format of the records selected above. Certification forms are available at <http://>\_\_\_\_\_.

# AGENCY CERTIFICATION OF COMPLIANCE WITH NARA TRANSFER REQUIREMENTS

## *Scanned Images of Textual Records*

*Please respond to the following questions by circling "yes" or "no". Upon completion please sign and submit to NARA with the completed notification form for permanent records that are now maintained in an electronic format.*

1. Are the electronic records maintained in one of the four file format(s) accepted by NARA (e.g., TIFF, GIF, BIIF, PNG)?	<input checked="" type="radio"/> Y / N
2. Do the electronic records meet NARA's minimum image resolution requirements?	<input checked="" type="radio"/> Y / N
3. Are the electronic records maintained in an uncompressed file format?	<input checked="" type="radio"/> Y / N
4. Are there finding aids and other relevant technical documentation associated with the records that can be transferred to NARA?	<input checked="" type="radio"/> Y / N
5. Are records of quality control inspections performed on the records available for NARA review?	Y / <input checked="" type="radio"/> N
6. Are there provisions for assuring the integrity and continued usability of the electronic records until they are ready for transfer to NARA?	<input checked="" type="radio"/> Y / N

  
Designated Agency Representative

8 July 2008  
Date

# AGENCY CERTIFICATION OF COMPLIANCE WITH NARA TRANSFER REQUIREMENTS

## Portable Document Format (PDF)

Please respond to the following questions by circling "yes" or "no". Upon completion please sign and submit to NARA with the completed notification form for permanent records that are now maintained in an electronic format.

1. Do the PDF records comply with PDF versions 1.0 through 1.4? <i>Agency used version 1.5</i>	Y / <input checked="" type="radio"/> N
2. Are all PDF security settings limiting access deactivated?	<input checked="" type="radio"/> Y / N
3. Are all referenced fonts in the PDF records either included or embedded?	<input checked="" type="radio"/> Y / N
4. Are the PDF records created from scanned images?  <i>If yes, please attach a completed Agency Certification form for scanned images of textual records.</i>	<input checked="" type="radio"/> Y / N
5. Do the PDF records contain embedded files (e.g., attached word processing files) or form data?	Y / <input checked="" type="radio"/> N
6. If yes, will this information be captured and transferred to NARA separately from the PDFs?	Y / N
7. Are there finding aids and other relevant technical documentation associated with the records that can be transferred to NARA?	<input checked="" type="radio"/> Y / N
8. Are there provisions for assuring the integrity and continued usability of the electronic records until they are ready for transfer to NARA?	<input checked="" type="radio"/> Y / N

  
Designated Agency Representative

*8 July 2008*  
Date



# **NARA Staff Guidance for the Appraisal of Portable Document Format (PDF) Records**

## **Technical Evaluation of Potentially Permanent PDF Records**

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### **Basic Descriptive Information**

1. Title of records: **Directives Division Files**
2. Organization unit responsible for creating the records: **Director, Administration and Management, Department of Defense**
3. Legal authority which specifically authorizes or requires the creation or maintenance of the records: **NC1-330-78-7, AI 15, FN 213-01 Directives Section Files**
4. Are there restrictions on access? **No**
5. Arrangement: **Numerically**
6. What is the content of the records and which agency programs does it support? **DoD Directives, DoD Instructions, DoD Publications, Administrative Instructions, amendments and other policy issuances under the DoD Directive System, and supporting documentation.**
7. Unit of analysis: (one record is created for each...) What is the unique identifier for each record (e.g., case file number, etc)? **Issuance number**
8. Inclusive dates of records: **1951-Present**
9. Number of records: **6089**
10. File size of proposed transfer in megabytes or gigabytes: **5.5 GB**
11. Volume (annual accumulation):
12. Are all the records in PDF or are the records in mixed formats? **PDF only**
13. When are the records eligible for transfer to NARA? **Closed files from 1951-1977 are available immediately, approx 3 gigabytes.**

### **PDF Specific Questions**

14. PDF file specification: version 1.0 1.1 1.2 1.3 1.4 1.5 or other  
**Answer: 1.5.**
15. Are links to external information included in the PDF records? **Answer: No**
16. Are there any comments or annotations on the records? **Only as a scanned image, does not exist separately from the PDF file. Do they enhance the value and affect**

## NARA Staff Guidance for the Appraisal of Portable Document Format (PDF) Records

### Technical Evaluation of Potentially Permanent PDF Records

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the appraisal of the records? If yes, the comments or annotations will have to be transferred with the records. (Section 3.2.2.1)

17. Are there objects that are attached to the PDF document (e.g., MS Word files, MS Excel files, etc.)? **Answer: No**
18. Are keyed form data contained within the PDF records? If so, is it part of the PDF file or is it in a corresponding database, or both? [Note: form data can be exported from a PDF document and stored as a .FDF file. These data could be imported into a database]. **Answer: No**

### PDF Guidance Requirements

19. Do the PDF records comply with the following sections of NARA's PDF transfer instructions? If not, please explain the deficiencies. Could these issues be corrected by the agency before transfer?
- a. Do the PDF records contain any security settings? If yes, please describe. (Section 3.2.1) **Answer: No**
  - b. Can the agency deactivate all security settings for documents created after April 1, 2004? (Section 3.2.1.) **N/A**
  - c. If the links were determined to be part of the permanent record during the appraisal, how will the agency transfer the linked documents, files or sites? **N/A**
  - d. Are keyed form data records being transferred as part of the PDF file or in a separate database or information system? (Section 3.2.2) **Answer: No**
  - e. Do the PDF records contain embedded fonts? If yes, has the agency embedded all fonts, including the "base 14"? If not, can the agency embed the required fonts prior to transfer? (Section 3.3.1) **Answer: The PDFs do contain embedded fonts and include the "base 14". Under the Acrobat Distillery, "embed fonts" was selected to ensure that they were embedded**
  - f. Do scanned images of textual paper records converted to PDF adhere to the requirements in NWM 02.2003, MEMORANDUM TO AGENCY RECORDS OFFICERS: Expanding Acceptable Transfer Formats: Transfer Instructions for Scanned Images of Textual Records, dated December 23, 2002? (Section 3.4.1) **Answer: All images were scanned using Scandall 21 Version 4.2 to create TIFF images at 240 dpi and no more than 300 dpi. All files were**

## NARA Staff Guidance for the Appraisal of Portable Document Format (PDF) Records

### Technical Evaluation of Potentially Permanent PDF Records

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**uncompressed to ensure the quality of each document during transfer and constant utilization of images.**

- g. Did the OCR process use compression to reduce file size? If yes, what process was used? Was the compression method lossless (i.e., no loss of data) or lossy (i.e., involves some data loss)? (Section 3.4.2) **Answer: The Directives were scanned using searchable Image-exact which uses JBig2 compression. We used Acrobat6.0 which uses JBig2 lossless for Image-Exact files - approved according to section 3.4.2.1.**
- h. Have the PDF records been compressed or aggregated for transfer? (Section 4.2) **Answer: The directives have not been compressed or aggregated for transfer. We delivered the documents via external hard drive, allowing us to provide documents "as is" without having to condense or combine to decrease file size for space purposes.**

### Finding Aids and/or Related Records

20. Are there any finding aids, indexes, or metadata for the PDF records? What is the format? Are they scheduled? **Will have finding aids**
21. Do the scanned or image records contain embedded searchable text based on Optical Character Recognition (OCR)? If yes, are there finding aids created from the OCR'd text? If yes, was there any "clean up" performed on the OCR'd text? **Answer: The PDFs were created using searchable image exact (same as image+ text). They do contain embedded searchable text but finding aids were not created from the OCR'd text and document clean up was not necessary for these files.**
22. Are there any external applications or executable programs used to navigate either within large PDF records or between multiple PDF records maintained as a collection? **No**

Person(s) to contact regarding information on these questions	Telephone	Email

**NARA Staff Guidance for the Appraisal of Portable Document Format (PDF) Records**

**Technical Evaluation of Potentially Permanent PDF Records**

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