

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-330-77-03

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Items 1401-01 through 1401-08 were superseded by N1-330-92-001.

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

*30 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

Assistant Secretary of Defense (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

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 10 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	F. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	G. SAMPLE OR JOB NO.	H. ACTION TAKEN
6 Oct 76	<i>James S. Nash</i>	Records Administrator	1400 Records of the Office of the Director of Planning and Evaluation		

115-107

*Sent to agency and NCR - 3/30/77 SP*

LEAVE BLANK

JOB NO.

NC 1-330-77-3

DATE RECEIVED

OCT 8 1976

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

MAR 28 1977

Date

*James S. Nash*

Archivist of the United States

STANDARD FORM 115

Revised April, 1975

Prescribed by General Services  
 Administration  
 FPMR (41 CFR) 101-11.4

Category Number	Description of Records	Authorized Disposition Instruction
1400	<u>Planning and Evaluation Files</u>	<p>The Director of Planning and Evaluations is responsible for the formulation of force planning, fiscal, and material support policy guidance; analysis and evaluations of planned and proposed weapons systems and equipment in relation to projected threats, defense objectives, resource constraints and priorities; evaluations of current and proposed U.S. and foreign forces as they relate to the ability of the DoD to meet defense objectives; and identifying issues and both analyzing and evaluating alternative programs. ADP files and their disposition are covered in a separate chapter. Unless otherwise indicated all files of this organization of a permanent nature will be made available to NARS <del>after 40</del>  <i>40 years old of creation.</i></p>
1401	<u>Office Administrative Files.</u>	<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>
1401-01	<p>Policy files. Documents relating to preparing, coordinating, issuing and interpreting policy pertaining to Planning and Evaluating.</p>	<p>Permanent. Transfer to WNRC 5 years after supersession.</p>

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>1401-02</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 to instructions; technical newsletters or comparable media used to forward semi-official and authoritative instructions; and official training materials.</p>	<p>Permanent. Cut off annually or on supersession or obsolescence, as reference needs require. Transfer to WNRC when superseded or obsolete.</p>
<u>1401-03</u>	<p>Administrative files. Documents relating to the overall or general routine administration of finance and fiscal activities of an office, but exclusive of specific files described in this regulation. These files include, but are not limited to---</p> <p>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.</p> <p>b. Evaluations of suggestions that do not result in issuing an instruction or establishing a project.</p>	<p>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.</p>

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
	<p>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.</p> <p>d. Extracts of reports of inspections, surveys, or audits that pertain to the operation of the mission or function.</p> <p>e. Comments on or contributions to news releases or other media furnished to information officers to publicize and promote the mission or functions.</p>	
<u>1401-04</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. Included are agreements, agreement checklists, amendment, 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>1401-05</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>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>1401-06</u>	Committee Files. Documents relating to establishing, operating, and dissolving committees which consider, advise, take action, and report on specifically assigned functions. They include joint, inter-departmental, and 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, agenda, minutes of meetings and related documents.	Permanent. Cut off when no longer needed for current operations.
<u>1401-07</u>	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.
<u>1401-08</u>	Reference Paper Files. Documents used to facilitate, control, or supervise the performance of a specific function, process, or action - as distinguished from those	

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	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:	
	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 recommendation, 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 blocks after an additional 3 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.

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	<p>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.</p>	<p>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.</p>
<u>1402</u>	<p><b>Strategic Programs Files.</b> This office develops strategies underlying the procurement, limitation, operations, and possible use of strategic and theatre nuclear forces. Reviews strategic retaliatory, and defense forces, nuclear weapons requirements and strategic arms control measures, including the preparation of summaries of alternative programs in terms of effectiveness, feasibility and cost.</p>	
<u>1402-01</u>	<p><b>Special Weapons and Support.</b> Analysis of nuclear, biological and chemical weapons systems, quantitative requirements and technical development including AEC costs. Input to contingency plans. Alternate policies.</p>	<p>Permanent. Transfer to WNRC 5 years after supersession.</p>
<u>1402-02</u>	<p><b>Strategic Planning and Arms Limitation.</b> Support for the Strategic Arms Limitation Talks (SALT). Broad policy studies on arms control issues, and detailed analyses of present and future US/USSR strategic capabilities. Studies of</p>	<p>Permanent. Transfer to WNRC 5 years after supersession.</p>

Category Number	Description of Records	Authorized Disposition Instruction
	impact of alternative limits on strategic forces and balance. Studies on SALT related issues.	
1402-03	Strategic Forces. Analysis of U.S. strategic force postures and requirements including Continental Air Defense, Ballistic Missile Defense, Civil Defense, Space Defense, Strategic Command and Control, Warning and Surveillance and U.S. Bomber Survivability. Studies and evaluations of alternative force postures, summaries of alternative programs for decision on strategic defensive and command control and surveillance forces including characteristics, effectiveness, cost and alternatives to meet strategic objectives.	Permanent. Transfer to WNRC 5 years after super-session.
1403	<u>Resource Analysis.</u>	
1403-01	Program Costs Analysis. Analyses and estimates in the form of reports of the costs of planned and prepared defense programs, force structures and weapons systems. Cost estimates associated with the annual preparation of the Secretary of Defense's Fiscal Guidance. Cost analysis of acquisition programs to be considered by the Defense Systems Acquisition Review Council. Plans and development of cost estimating techniques.	<p><i>Permanent.</i></p> <p>a. Transfer to WNRC when 10 Years old. Retain cost estimating techniques while valid then destroy.</p> <p>b. <i>Delete cost estimating techniques when no longer valid.</i></p>
1403-02	Manpower Resources. Analysis of policy and planning guidance to identify and evaluate DoD peacetime and wartime military and civilian manpower requirements. Reviews and analyses of manpower	Permanent. Transfer to WNRC when 5 years old. <i>Offer to Destroy</i> when 25 years old.

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	requirements in terms of functions, skills, costs, and training capacity. Reviews of budget implications and alternative manpower programs.	
<u>1403-03</u>	Logistics.	<p><i>a+b.</i> Permanent. Transfer to WNRC when 5 years old.  <del>Sizing methodologies can be destroyed 3 years after being superseded by improved techniques.</del></p>
	a. Analysis and guidance to help allocate resources efficiently.	
	b. Development of annual Secretary of Defense Material Support Planning Guidance necessary for immediate and long range logistical planning.	
	c. Resources of ammunition procurement programs and budgets.	
	C. Development of evaluation methodologies which estimate amount of resources necessary and evaluation of alternate logistic programs.	<p><i>c. Destroy 3 years after supersession by improved techniques.</i></p>
<u>1403-04</u>	Economic Studies. Evaluation reports and studies of the economic implications of DoD programs and special problems. For example the large scale procurement or cancellation of aircraft or ships on industry and effect on defense potential. Reports and studies prepared to evaluate the impact of national economic conditions on defense planning.	<p>Permanent. Transfer to WNRC 3 years after supersession.</p>
<u>1404</u>	<u>Regional Programs.</u>	
	Reviews and analysis of the character and size of U.S. and allied military postures in NATO and Asia and the effectiveness and balance of forces in these areas.	

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<u>1404-01</u>	Asia Files. Reviews and analysis of U.S. and Allied military posture, strategy and force requirements in Asia. Analysis of military/economic/political considerations in Asia to provide understanding of the factors and a basis for planning strategy, and force requirements. Evaluations of issues and summaries of alternative strategy, postures and force requirements to achieve U.S. military objectives.	Permanent. Transfer to WNRC 5 years after supersession.
<u>1404-02</u>	NATO Files. Reviews and analysis of U.S. and Allied military posture, strategy and force requirement in NATO and Europe. Analysis of military/economic/political considerations in NATO and Europe to provide understanding of the factors and a basis for planning strategy and force requirements.	Permanent. Transfer to WNRC 5 years after supersession.
<u>1404-03</u>	Special Studies. Reviews and analyses of U.S. forces and Allied effectiveness. Special studies, evaluations and analysis similar in nature to 1404-01 and 1404-02 as related to regions other than Asia and NATO and the effectiveness and balance of all general purpose forces in various regions.	Permanent. Transfer to WNRC 5 years after supersession.
<u>1405</u>	<u>General Purpose Programs.</u>	
<u>1405-01</u>	Land Forces. Reviews and analyses of DoD Army and Marine Corps active and reserve land forces, combat and support, weapon systems requirements, and alternative mixes and levels of land force structures.	Permanent. Transfer to WNRC 5 years after supersession.

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<u>1405-02</u>	Mobility Forces. Reviews and analyses of mobility programs including airlift and sealift forces, equipment prepositioning programs, emergency use of civil transportation resources, indirect support aircraft forces, and mobility support forces.	Permanent. Transfer to WNRC 5 years after supersession.
<u>1405-03</u>	Naval Forces. Reviews and analyses of naval forces including Anti-Submarine Warfare, amphibious, fire support, mine countermeasures, replenishment, fleet escort and shipbuilding programs.	Permanent. Transfer to WNRC 5 years after supersession.
<u>1405-04</u>	Tactical Air Files. Reviews and analyses of tactical air forces (active and reserve), including land and sea based aircraft for air-ground support operations, air-to-air combat, interdiction, reconnaissance, and other support missions. Reviews and analyses of theatre and fleet air defense forces.	Permanent. Transfer to WNRC 5 years after supersession.