

SERIES 1300

DIRECTOR, DEFENSE RESEARCH AND ENGINEERING (DDR&E)

1300. DEFENSE RESEARCH AND ENGINEERING (NC1-330-77-15)

These files relate to research and engineering (R&E) and pertain to: Scientific and technical matters; basic and applied research; developments, tests and evaluations of weapons systems, design and engineering, for suitability, producibility, reliability, maintainability, and materials conservation; and environmental services.

1301-01. - 1301-07. Reserved. (Common Mission Files.)

1301-08. Program Files. Documents that 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.

Disposition: Permanent. Transfer to the WNRC 5 years after program completion. Make available to the NARA when 30 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) for research services with addendums; project cards; technical characteristics; test and trial and photographs considered to be essential to document designs, modifications, and engineering developments; technical and progress reports; notice or 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 administer the laboratories such as the Naval Ordnance Laboratory.

Disposition: Permanent. Retire to the WNRC 5 years after program completion. Transfer to the NARA when 30 years old.

1301-10. Administration of Projects. Lists, card indexes, or other media reflecting in an abstract comprehensive manner individual projects administered by the OSD.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Make available to the NARA when 30 years old.

1301-11. Laboratory Notebooks on Technical and Scientific Data Accumulating From the Conduct of Research and Development. These are mostly found in laboratories under the administration of the Head of a DoD Component. The OSD volume is estimated at less than 5 cubic feet per year. See note under item 1301-09.

1301-11.1. 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.

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

1301-11.2. Notebooks whose data has not been duplicated elsewhere and that would add significantly to the project file. The OSD volume is less than 1 cubic foot per year.

Disposition: Permanent. Transfer to the WNRC when 3 years after program completion. Make available to the NARA when 30 years old.

1301-12. Technical Report Files. Consisting of an official file copy of each technical report, or unpublished manuscript or a report, prepared in connection with a project, article reprints, terminal narratives, statistical and graphic compilations, summarizations, and analyses.

Disposition: Permanent. Transfer the final official report the WNRC 3 years program completion. Make available to the NARA when 30 years old. Retain other technical file material for 3 years, then destroy.

1301-13. 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 Head of a DoD Component.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old. Volume is small for OSD; estimated at less than 5 cubic feet per year. See note under item 1301-09.

1301-14. 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.

Disposition: Destroy when 2 years old.

1301-15. 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 determined by sufficient value for incorporation in project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.

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

1301-16. Summary progress reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared there from.

1301-16.1. Copies of reports retained by reporting offices.

Disposition: Dispose of 1 year after completion or cancellation or related projects.

1301-16.2. Feeder reports used for compilation or consolidated reports, except as indicated in 1301-16.3.

Disposition: Dispose of upon submission of consolidated reports.

1301-16.3. 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.

Disposition: Permanent. Make available to the NARA when 30 years old.

1301-17. Unsolicited Proposals (NC1-330-81-6). Correspondence records from individuals proposing the use of their inventions or suggestions to improve the Defense Department. Files consist of case projects including, if warranted, feasibility studies and investigations.

1301-17.1. Accepted suggestions or inventions of a significant nature, which could later result in litigation.

Disposition: Permanent. Transfer to the WNRC 3 years after case is closed. Offer to the NARA when 30 years old.

1301-17.2. Rejected suggestions or inventions of a significant nature, which could later result in litigation.

Disposition: Transfer to the WNRC when 3 years after last action. Destroy when 30 years old.

1301-17.3. Rejected suggestions or inventions of a significant nature.

Disposition: Transfer to the WNRC 3 years after last action. Destroy when 7 years old.

1301-18. SALT Support. Scientific and engineering support documents directed towards current strategic policy issues associated with discussion alternatives in SALT

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.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1301-19. Chronological Reading Files

Disposition: See Section 102-16.

1301-20. Congressional Correspondence.

Disposition: See Section 102-18.

1301-21. Transitory Material (NC1-330-80-5). Transmittal documents that add no significant information to material transmitted; routine requests for information, publications, or supplies; documents correcting reports or other minor corrections to records; and courtesy or informational documents that are not needed to document specific functions or actions but are of reference value to the office.

Disposition: Destroy 3 months after monthly cutoff, or when purpose has been served, whichever is sooner.

1302. SPECIAL BOARDS AND COMMITTEES

1302-01. Defense Science Board. Advises the SecDef through the DDR&E on scientific and technical matters of interest to the Department of Defense. Studies directed towards scientific and technical aspects or specific strategies, tactics, and policies as they may affect the U.S. national defense posture.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Make available to the NARA when 30 years old.

1302-02. Net Technical Assessment

1302-02.1. Documents consisting of assessments of current and projected U.S. and foreign military capabilities and evaluating the differences. Documents that develop or provide for the development of specific net assessment of current and projected U.S. and foreign major weapons systems.

Disposition: Permanent. Transfer to the WNRC 5 years after superseded by more current analysis. Make available to the NARA when 30 years old.

1302-02.2. Evaluation reports on the subject of military needs and programs based on existing or potential threats revealed by intelligence analysis.

Disposition: Permanent. Transfer to the WNRC 5 years after superseded by more current analysis. Make available to the NARA when 30 years old.

1302-02.3. Documents that examine intelligence reports and identify voids that require further analysis in the area or foreign military assessment.

Disposition: Permanent. Transfer to the WNRC 1 year after situation has been remedied. Make available to the NARA when 30 years old.

### 1303. TEST EVALUATION FILES

1303-01. Strategic Naval and C3I Systems. Reviews of test and evaluation (T&E) plans submitted by the Armed Services and assessment of results. Documents that monitor T&Es conducted by the Services for the DAB programs. Reports to the Deputy Secretary of Defense at critical milestones of the T&E cycle. Documents on the tests and evaluation of foreign systems for possible DoD use.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

#### 1303-02. Test Facilities and Resources

1303-02.1. Documents providing policy direction and planning guidance concerning the operations and assignment of test programs of the national and major Service ranges such as the weapons ranges, White Sands Missile Range, Proving Grounds, Air Test Centers, etc.

Disposition: Permanent. Transfer to the WNRC when superseded or obsolete. Make available to the NARA when 30 years old.

1303-02.2. Reviews examining the adequacy of the ranges to meet requirements and Directives that ensure the avoidance of duplication. Reports examining the compliance and reviewing the adequacy.

Disposition: Destroy 5 years after superseded by a more current review or directive.

1303-02.3. Record documents of the Major Range and Test Facility Committees. Memberships, charters, agendas, reports, and minutes or meetings.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Make available to the NARA when 30 years old.

1303-03. Tactical Air and Land Warfare. Documents which review Tactical Systems T&E plans, monitor their progress and assess the results. Documents that initiate and coordinate joint T&E programs. Reports at critical milestones.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

#### 1304. PROGRAM CONTROL AND ADMINISTRATION

##### 1304-01. Program Control

1304-01.1. Documents on all programming and financial activities connected with the research, development, testing, and evaluation (RDT&E) program including reprogramming requests, the release of deferred funds, and requests from the Emergency Fund.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1304-01.2. Program Index of responsibility and programming system records.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1304-01.3. Arrangements for computer support for USDR&E activities. These are in the nature of agreements to use DoD facilities on a shared basis.

Disposition: Destroy 1 year after termination of agreement.

1304-01.4. Documents on across-the-board technical support programs, general purpose military construction projects, R&D manpower, and formal reviews of all programs.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1304-01.5. Management reports and technical information.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

1304-01.6. New legislation originated within USDR&E.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 20 years old.

1304-01.7. Focal point for GAO reports.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 20 years old.

### 1305. ACQUISITION POLICY

1305-01. Planning. Documents that 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 College.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 20 years old.

1305-02. Systems Acquisition. Documents developing positions for review by the DAB. Documents coordinating the work of the various offices in the USDR&E in the preparation of justification for a system acquisition. Briefs and defenses of systems acquisitions.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

### 1305-03. Engineering Policy

1305-03.1. Documents establishing engineering policy and standards, particularly in regards to performance criteria, reliability, maintainability, and survivability.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 25 years old.

1305-03.2. Documents that review major programs for compliance with sound engineering practices.

Disposition: Destroy 5 years after program completion.

### 1306. RESEARCH AND ADVANCED TECHNOLOGY

1306-01. Electronics and Physical Sciences. Reviews, analyses, and evaluations of DoD technology programs in electronics, associated solid state physics, electronic development, and computer and communications applications. Documents that monitor

the related plans, policies, and procedures of the Military Departments to ensure 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.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1306-02. Environmental and Life Sciences. Reviews, analyses, 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 that monitor the plans, policies, and procedures of the Military Departments to ensure implementation. Reviews and evaluations of the DoD in-house laboratories.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 20 years old.

1306-03. Engineering Technology. Reviews, analyses, and evaluations of technical content and responsiveness in engineering requirements. DoD technology programs in area of airframes and aerodynamics, aircraft, rocket and missile propulsion, materials and structure, guided weapons ordnance and land and sea vehicles. Documents that monitor the managerial plans, policies, and procedures of the Military Departments to ensure effective implementation of correct engineering technology.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

### 1307. STRATEGIC AND SPACE SYSTEMS

1307-01. Defensive Systems Files. Reviews and evaluations of military programs and proposals for R&D that 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.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1307-02. Offensive and Space Systems. Reviews and evaluations of military programs and proposals for R&D for strategic attack to include military space systems used for their control. Plans and recommendations for appropriate action and funding for such programs.



Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1307-03. Advanced Systems. Reviews and evaluations of military programs and proposals for space and advanced systems such as radiation weapons, tactical warning, air-breathing vehicles, and orbit to orbit. Studies and analyses of potential future problems in maintaining effective forces. Planning and budgeting documents for assigned programs.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1307-04. Cruise Missile Systems (NC1-330-80-5)

1307-04.1. Reviews and evaluations of military programs and proposals for cruise missiles and associated platforms including air, sea, and ground-launched conventional and nuclear armed cruise missiles and aircraft, ships, submarines and ground systems to support their launch.

1307-04.2. Studies and analyses of potential future problems in maintaining effective forces.

1307-04.3. Planning and budgeting documents for assigned programs.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 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 that manage the coordination, and that propose a development budget. Reviews of development and prototype production activities conducted under the authority of the Area Coordination Papers.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 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 battlefield 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 for a budget for specific land warfare developments.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1308-03. Naval Warfare (Formerly known as Ocean Control). Plans for the allocation of development resources between the various areas comprising naval warfare: Fleet offensive operations, antisubmarine warfare, and ocean surveillance. Documents managing the preparation and coordination of major development activities in naval warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific naval warfare developments.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1308-04. Armament and/or Munitions Requirements and Development (ARMAD) Files (NC1-330-80-5). Documents relating to the development of harmonized requirements that fulfill more than one Service's munitions and associated subsystem needs, and the achievement of interchangeability with munitions in use or planned use by NATO Allies. Included are: Recommendations for resolving joint Service standardization problems; development of guidelines for standardization of requirements in munitions and associated equipment; recommendations concerning munitions development, production, or modification; identification of munitions areas where additional development would improve standardization probability, operational effectiveness, and compatibility; and evaluation of programs for munitions likely to be in existence in the future, analysis of problem areas and opportunities to converge requirements and make appropriate recommendations for joint-use.

Disposition: Permanent. Transfer to the WNRC 5 years after cutoff of the CFA. Make available to the NARA when 30 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.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

1309-01. Case record documenting the DoD position on export licenses proposed by the Department of Commerce for foreign trade, or by the Department of State, if a foreign government is involved. They involve the sale or trade of U.S. technology and/or products of a technical nature that may be defense-related. The record copies of these licenses are retained by Commerce or State, as appropriate.

Disposition: Convert to microform and destroy the hard copy when ascertained that reproduced copies are adequate substitutes for the paper records, and filmed in accordance with standards in 41 CFR 101-11.506. Transfer the microfilm to the WNRC when 5 years old. Destroy when 10 years old.

1309-02. Foreign Scientist Case File. Case files on foreign scientists accumulated in connection with DoD programs under which foreign scientific personnel were encouraged to emigrate to the United States. Files include completed applications, correspondence with potential employers, records accumulated in connection with security clearance investigations, travel orders, household goods shipment records, and other materials.

Disposition: Offer all records to the NARA for a determination of historical value when 15 years old.

1309-02.1. Records of historical value.

Disposition: Permanent. Transfer to NARA.

1309-02.2. All other records.

Disposition: Temporary. Destroy when 15 years old.