

SERIES 800

ASSISTANT SECRETARY OF DEFENSE (INTERNATIONAL SECURITY AFFAIRS) (ASD(ISA))

800. INTERNATIONAL SECURITY AFFAIRS (NC1-330-77-1)

General (NC1-330-77-1). Under Secretary of Defense (Policy) (USD(P)) in the OSD performs the following functions:

800.01. Monitors DoD participation in the National Security Council (NSC) and initiates appropriate action in DoD implementing NSC's approved policies.

800.02. Develops and coordinates Defense positions, policies, plans, and procedures in the fields of international political and/or military and foreign economic affairs.

800.03. Identifies the national security objectives of the United States; studies the world situation and emerging problems of major significance of the security of the United States, analyzing the range of possible political and/or military actions for dealing with the solution.

800.04. Develops plans and other documents used to organize and monitor the activities of the Military Assistance Advisory Groups.

Unless otherwise noted, all 800 files designated for permanent retention shall be transferred to the National Archives when 30 years old.

801. RESERVED (103., Common Mission Files.)

801-04. Agreements File (NC1-330-77-1).

801-04.1. See 103-04.

801-04.2. Records containing agreements with foreign governments or international organizations concerning basing, operating rights, logistical support, or status of forces, the together with their negotiating history, instructions from the Department of Defense or the Department of State, and comments between the Governments concerned, which may impact on National Defense.

Disposition: Permanent. Cut off 1 year after conclusion of negotiations on the agreement and retire to WNRC. Transfer to NARA 30 years after cut off.

802. STAFF OFFICES

802-01. Treaty Obligations. Copies of documents containing military commitments and treaty obligations, interpretations, comments or proposals.

Disposition: Permanent. Cut off and retire to WNRC 2 years after the commitment or treaty is concluded, or the proposal for such a treaty or commitment has been rendered. Transfer to NARA 30 years after cut off.

802-02. Overseas Travel Clearance.

802-02.1. Policy on obtaining clearance to officially visit overseas areas.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

802-02.2. Specific requests, clearances, and briefing data.

Disposition: Destroy upon completion of travel or after 90 days, whichever is later (NI-330-93-2).

802-03. Foreign Military Rights Affairs. Documents that develop and coordinate DoD proposals and positions on overseas military facilities, operating rights, defense cooperation, and status of U.S. Forces in other countries; preparation of negotiating instructions for U.S. diplomatic missions and DoD elements on necessary agreements; interpreting and monitoring the implementation of the agreements, and providing guidance on application of the agreement and SOFA policies.

Disposition: Permanent. Cut off when 3 years old or files become inactive, whichever is sooner. Retire to WNRC at cut off. Transfer to NARA 30 years after cut off.

803. SECURITY ASSISTANCE

803-01. Policy, Plans, and Program Formulation. Documents that:

803-01.1. Formulate DoD Security Assistance programs, including policies, plans, and priorities.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

803-01.2. Provide input to DoD planning, programming, and budget systems for security assistance. This would include expenditures and receipts for sale of defense articles, planned operating expenses, etc.

Disposition: Destroy 3 years after end of fiscal year.

803-01.3. Establish DoD position on eligibility of foreign governments and international organizations for security assistance.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

803-01.4. Directs and monitor the Military Assistance Advisory Groups (MAAGs) and representatives. Includes the Military Assistance and Sales Manual.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

803-01.5. Direct the Congressional Presentation Document.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

803-01.6. Provide policy guidance on the sale of defense articles and services.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

804. EUROPEAN AND NATO AFFAIRS

804-01. European Region Files. Policy matters of Defense interests pertaining to the NATO and the countries of the Alliance (but excluding Greece and Turkey); the Warsaw Pact; Berlin; and all other European countries.

Disposition: Permanent. Retire to the WNRC 5 years after canceled or superseded.

805. POLICY AND PLANS

805-01. Policy, Plans, and National Security Council Affairs. Analyses and planning documents affecting U.S. national security and defense posture; studies of current and emerging international politics and military issues; evaluations of politics and military implications of advanced weapons systems, force deployments, and regional defense concepts; coordination for the Department of Defense on foreign disaster relief; policies and coordination for military activities in or near politically sensitive areas.

Disposition: Permanent. Policy, plans, procedures, and directives, retire to the WNRC 5 years after canceled or superseded; analyses, evaluations, and studies, retire to the WNRC 5 years after superseded.

805-02. Mutual Balance of Forces Reduction (MBFR) Task Force. Analyses, plans, and DoD positions on any MBFR talks or negotiations.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

805-03. Law of the Sea. DoD policy matters on Law of the Sea and aspects of territorial waters, navigation, fishing, seabed, research, marine pollution, and relations with the U.N. Law of the Sea conferences.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

806. EAST ASIAN AND PACIFIC AFFAIRS

806-01. East Asian and Pacific Region. Policy matters of Defense interest on countries of the East Asian and Pacific Region (except the Union of Soviet Socialist Republics).

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

807. NEAR EASTERN, AFRICAN, AND SOUTH ASIAN AFFAIRS

807-01. Near East and South Asia. Policy matters of Defense interest on countries of the Near East and South Asian regions, including Greece and Turkey and the Indian Ocean islands, (except the Malagasy Republic).

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

807-02. Africa Region. Policy matters of Defense interest on countries of Africa and the Malagasy Republic (except the United Arab Republic).

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

808. INTERNATIONAL ECONOMIC AFFAIRS

808-01. International Economic Affairs. Documents on foreign economic implications of currently approved, new or alternative programs of force structures, weapons systems, and other military capabilities.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

808-02. Strategic Trade and Disclosure. DoD positions, policies, plans, and procedures in the fields of strategic trade control; monitors export control; and foreign

disclosure. Documents, committee charter, memberships, minutes of the National Military Disclosure Policy Committee.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

808-03. Prisoner of War and/or Missing in Action Affairs. Policy on the overall program and coordinating documents of all DoD and/or MIA activities. Directives on procedures on Prisoners of War (POW) and detainee programs.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

808-04. Committee on Foreign Investment in the United States (CFIUS) Case Files. Case files accumulated in the Defense Technology Security Administration (DTSA) in response to requests from the Department of Treasury (chair of CFIUS) regarding proposed mergers, acquisitions, and takeovers of U.S. businesses by foreign investors. Includes tasking documents from Department of the Treasury, lists of DoD Agencies to which case is referred and responses, background information on companies, and related records.

Disposition: Cut off when case is closed or no longer needed for current business; hold in the current files for 3 years and retire to WNRC; destroy when 10 years except that materials of no substantive value such as annual reports submitted by companies, may be destroyed when no longer needed, as is authorized for reference paper documents maintained under the provisions of series 103-08.3.

808-05. US Exports System (USXPORTS) Files. Information collected and processed by a government system designed to automate export licensing for dual use items, munitions, goods, and services. Temporary and permanent export licensing requests originated by industry and submitted to the Department of State (DoS) and the Department of Commerce (DoC) for licensing is provided to DoD for national security review. All information from this system is received, processed, and transferred electronically; there are no hard copy outputs included are:

- Munitions Case files pertaining to but not limited to records originating at the Department of State, Office of Defense Trade Control consisting of: Applications for licenses for permanent (DSP Form 5) and temporary export (DSP Form 73); Applications for licenses for temporary import (DSP Form 61); applications/license for the export of temporary import of classified defense articles and related classified data (Form DSP-85); Commodity Jurisdiction Determination Request; Voluntary Disclosure requests; and Manufacturing and/or Technical Assistance Agreements, Brokering Agreements, and Distribution Agreements.
- Dual-Use Case files pertaining to records originated at the DoC, Bureau of Export Administration (BXA) consisting of BXA Forms 738P (Multi-Purpose Application) and related data; reviews of agency and Service positions/input; background information originating at DTSA Licensing Directorate, Dual-Use Division; and extra copies of industry-provided technical data.

- Source and reference information such as USXPORTS case summaries, and position papers, agendas, and briefing books, intelligence reports, and other related records used to formulate DoD's position to the Operating Committee (OC) and Advisory Committee on Export (ACEP).

Disposition: Destroy/Delete electronic case file data 75 years after review or when no longer needed for conducting business, as determined by licensing director. (N1-330-06-1).

809. SALT TASK FORCE/STRATEGIC ARMS LIMITATION TREATIES (START) TREATY FILES

Advice formulation and coordination of policy for the Department of Defense concerning the Strategic Arms Limitation Treaties I and II, and the START treaty.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

810. ELECTRONIC INFORMATION SYSTEM (EIS) FILES

810-01. International Balance of Payment (Military Assistance Program (MAP) (ISA)). A machine-readable file created by the Defense Security Cooperation Agency (DSCA) to provide data for research and referral. It also serves as input to the Office of the C, DoD Master International Balance of Payments file, which has a different disposal schedule (NC1-330-78-5).

810-01.1. Master IT File.

Disposition: Retain until no longer required for reference.

810-01.2. Input to Master File.

Disposition: Scratch when 9 months old.

810-02. Foreign Military Sales (FMS) (DSCA) (AR)1100. A machine-readable cumulative record of FMS recording information on valid country requests, execution of accepted cases, delivery forecasts, and actual deliveries.

810-02.1. Master File.

810-02.1.1. Case Report System.

Disposition: Permanent. Transfer to the National Archives when no longer required for reference.

810-02.1.2. Item Detail Tape.

Disposition: Permanent. Transfer to the National Archives when no longer required for reference.

810-02.1.3. Master FMS Record; FMS Delivery File and Financial Tape.

Disposition: Scratch when 6 years old or no longer required for reference, whichever is later.

810-02.2. Quarterly File.

Disposition: Scratch when 6 years old or no longer required for reference, whichever is later.

810-02.3. Weekly Report.

Disposition: Scratch when 90 days old.

810-02.4. Hard Copy Output. Journals, facts, congressional presentations.

Disposition: Retire one copy annually for permanent preservation. Transfer to the National Archives when 25 years old.

810-03. Military Assistance Program (MAP (DSCA) (AR)1000. This is a machine-readable record, tape resident, recording MAP deliveries in material or services for participating countries.

810-03.1. Master Program and/or Delivery Tape.

Disposition: Permanent. Make available to the NARA when no longer required for reference.

810-03.2. MAP Delivery Summary File and CPD Summary File reference, whichever is later.

Disposition: Temporary. Scratch when 5 years old or no longer required.

810-03.3. Quarterly File.

Disposition: Temporary. Scratch when 5 years old or no longer required for reference, whichever is later.

810-04. Foreign Disclosure System (FDS) Master File. Information collected to support the transfer of Classified Military Information and sensitive unclassified data. The system is used for the coordination, tracking, and maintenance of records regarding the release of Classified Military Information

(CMI) to Foreign Governments and International Organizations, carries out responsibilities assigned by the NDP-1, and contains applicable classification/declassification information. Included are:

- Case number, requestor, requesting country, National Disclosure Policy (NDP) Category, reason for request, items requested, DoD recommendation for release of information.
- Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

Disposition: Permanent; transfer copy of system and related documentation dating 1982-2005 to NARA upon approval of this schedule. Thereafter, cutoff at the end of each calendar year and transfer pre-accessioning copy, with related documentation, to NARA every 2 years. Transfer of legal custody to take place when records are 25 years old, after declassification review. (N1-330-07-01)

810-05. National Disclosure Policy System (NDPS) Master File. Information system which provides an electronic means for organizations to submit and track submitted requests for exceptions to existing National Disclosure Policy. Included are:

- Content includes requests for exception to National Disclosure Policy, amendments to exceptions, records of action, and applicable classification/declassification information.
- Request numbers, requesting countries and organizations.
- Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

Disposition: Permanent; transfer copy of system dating 1962-2005 to NARA upon approval of this schedule. Thereafter, cutoff at the end of each calendar year and transfer pre-accessioning copy, with related documentation, to NARA every 2 years. Transfer of legal custody to take place when records are 25 years old, after declassification review. (N1-330-07-01).

810-06. Foreign Visits System (FVS) Masterfile. Information system used to process foreign visits, assignments, and exchanges of foreign nationals to DOD Components or contractor facilities. Records consist of lists of individuals cleared for access to DoD installations, activities, or Defense contractors. Information contained with the system includes: name, date and place of birth, security clearance, position, and an individual identification number which may be the Social Security Number of that person. Records may be retrieved by individual's name, Social Security Number, or visit ID number. Information is obtained solely from the foreign country or international organization sponsoring the individuals for whom a visit to the DoD installation, activity, or Defense contractor is being requested. (Privacy Act Systems Notice DUSD P08)

Disposition: TEMPORARY. Destroy/Delete when the cooperative arms or mutual security agreement or program between the U.S. government and the foreign government or international organization has expired or when 10 years old, whichever is sooner. (N1-330-07-03)

811. FILES OF MILITARY ASSISTANCE ADVISORY GROUPS (MAAGS), MILITARY MISSIONS, AND SIMILAR JOINT ACTIVITIES ESTABLISHED IN FOREIGN COUNTRIES TO MANAGE DoD SECURITY ASSISTANCE ACTIVITIES
(NC1-330-79-3)

811-01. Records On Security Assistance

811-01.1. Records on programs for the provision of security assistance to foreign governments in the form of material, training, and other assistance. Included are records that relate to establishing the requirements of foreign governments, including materials that pertain to the organization, functions, strength, and readiness of foreign military units, as well as records that document fulfillment of requirements by the United States, such as programs, amendments, and related papers, delivery schedules, and records that relate to visits of United States personnel to foreign military installations for the purpose of training and observation. Excluded are records described in 811-01.2., below.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 20 years old.

811-01.2. Records on individual transactions involving the shipping, storage, issue, receipt, and distribution of U.S. materiel provided to foreign governments, including supply manifests, vouchers, receipts, and invoices, as well as records on the training provided by the United States to individual foreign nationals, such as biographic data, travel orders, lists of courses taken, and copies of academic reports.

Disposition: Temporary. Destroy in accordance with the disposition schedules of the Department designated to provide administrative support as identified in DoD Directive 5124.3.

811-02. Records on the Organization and Functions of U.S. Military Missions. Included are agreements, directives, understandings, policy guidance documents, and similar instructional material received from elements of the Department of Defense, the Department of State and its components, and from foreign governments as well as records generated within the missions themselves, such as regulations, administrative memoranda, other policy issuances, organization charts, manuals, organization planning files, and general orders that document such matters as changes in command, organizational changes, and the issuance of awards.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 20 years old.

811-03. Other Records on MAAG's and Mission. Follow the DoD disposition schedules of the Department designated to provide administrative support as identified in DoD Directive 5100.3.

Disposition: Follow the DoD disposition schedules of the Service designated to provide administrative support as identified in DoD Directive 5100.3.

812. DEPUTY UNDER SECRETARY OF DEFENSE (SECURITY POLICY)
EMERGENCY PLANNING FILES (N1-330-90-3)

812-01. Program Planning Files. Documents on development of policy, plans, and procedures for the discharge of functions for emergency planning and preparedness, crisis management, defense mobilization and expansion in emergency situations, military support of civil authorities, and continuity of operations and continuity of government; provide support, as required, to the Department of Defense and other U.S. Government or State agencies on these as well as civil defense and related matters. Included are:

812-01.1. Civil Defense Files. Documents on activities and measures designed or undertaken to:

812-01.1.1. Minimize effects upon civilian population caused or expected to be caused by an enemy attack on the United States.

812-01.1.2. Deal with immediate emergency conditions that would be created by such an attack.

812-01.1.3 Affect emergency repairs to, or the emergency restoration of, vital utilities and facilities destroyed or damaged by such an attack.

812-01.2. Continuity of Government Files. Documents on measures designed to ensure continuity of essential functions of the Federal Government in the event of a national emergency.

812-01.3. Exercise (Command Post) Files. Records of military maneuvers or simulated wartime operations involving planning, preparation, and execution.

812-01.4. Intelligence Warning Indicators Files. Documents on selective dissemination of warnings and emergency information within Federal Emergency Management Agency (FEMA) regional areas within State-wide areas.

812-01.5. Military Support to Civil Authorities (MSCA) in Peacetime Conditions Files. Records on policy, plans and procedures governing MSCA in peacetime or wartime conditions:

812-01.5.1. Data concerning missions assigned to the Department of Defense to assist civil authorities in dealing with disturbances that exceed law enforcement capabilities of State and local authorities.

812-01.5.2. Documents related to the execution of disaster preparedness (e.g., plans for hurricanes, earthquakes, etc.).

812-01.5.3. Explosive Ordnance Disposal. Documentation of identification, detection, recovery and disposal of unexploded explosive ordnance.

812-01.6. Military Support to Civil Defense Files. Documents relating to role as principal DoD spokesman to military and civilian authorities on matters of policy and doctrine for military support to civil defense:

812-01.6.1. Civil Infrastructure Development. Fixed and permanent installations or facilities for support and control of military forces.

812-01.6.2. Key Asset Program. Policy guidance for planning to protect key assets (any industrial asset and any infrastructure asset owned by civil agencies or private sector).

812-01.7. Mobilization Steering Group Files:

812-01.7.1. Changes to current policies, plans, programs, and procedures that would improve the Department's ability to mobilize rapidly and deploy military forces.

812-01.7.2. Evaluations of the department's capability to mobilize forces and to carry out major deployment plans.

812-01.8. Graduated Mobilization Response Files. Documents on:

812-01.8.1. Development and implementation of incremental mobilization steps that are responsible to a wide range of national security threats and warning indicators.

812-01.8.2. Quick and effective implementation of mobilization preparedness measures.

812-01.8.3. Coherent decisions that relate mobilization response to the anticipated military requirements and overall national security policy.

812-01.9. National Security Emergency Preparedness Files. Documentation of capabilities at all levels of Government to meet essential defense and civilian needs in any natural, technological, or military occurrence that degrades or threatens the security of the nation.

812-01.10. White House Correspondence Files. Queries from the White House regarding on-going programs, projects, and activities of the Deputy Under Secretary of Defense (Policy).

Disposition: Permanent. Retire to the WNRC when superseded or obsolete. Transfer to the National Archives when 30 years old.

812-02. Defense Advisory Board Files. Reference material on board study activities.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-03. Defense Planning and Budget. Reference files on emergency planning response to SecDef's planning program budget.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-04. Defense Production Act. Reference files on the Defense Production Act of 1950.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-05. DoD Emergency Authorities Retrieval and Analysis System (DEARAS). Reference material used to develop DEARAS as an innovative contribution to the Department of Defense and Government-wide emergency management capability.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-06. Emergency Planning Preparedness. Reference files on national security energy, emergency planning and response.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-07. Energy Emergencies. Reference material on special activities on national security, emergency planning and response.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-08. FEMA Activities. Reference materials concerning the wide range of emergency management activities in the Federal Government during times of peace and war.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-09. Foreign Acquisitions. Reference materials that monitor U.S. economy with other major industrial countries.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-10. Industrial College of the Armed Forces. Reference material on research on strategic resources that impact on national security.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-11. Mobilization Matters. Reference documents on the act of organizing national resources to place the nation in a state of readiness to meet a military threat; calling up of Reserves and assembly of military forces in order to meet a national emergency.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-12. Mobilization Research Studies (MRS). Reference material on Government or contractor activities on mobilization and policy development.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-13. Industrial Base Preparedness Planning Reference Files. Material on the preparedness of industry to produce essential material to support national military objectives.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-14. National Security Affairs. Reference material encompassing both national defense and foreign relations: A defense posture capable of successfully resisting hostile or destructive action from within or without, overt or covert.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-15. National Defense Stockpile (NDS). Reference material on stockpiling strategic and critical materials in the interest of national defense to preclude a dangerous and costly dependence on foreign sources of supply in times of national emergency.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-16. NATO Affairs. Reference materials on international organizations covered by the agreement of the NATO.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-17. Readiness and Sustainability Issues. Reference material on the ability and staying power (number of days) of our forces, units, weapon systems, and equipment that units can deliver in the outputs that they were designed (ability to deploy and employ without unacceptable delays).

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-18. Reserve Forces. Reference material on functions of non-mobilized forces of the United States:

812-18.1. The National Guard.

812-18.2. The Reserves.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-19. Sea- and Airlift Policy. Reference papers on the total capacity of number of passengers and weight of cargo that can be carried at any time to a given destination by the available air or sea transport service.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-20. Combatant Commands. Reference material on military missions assigned by the President and the SecDef.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

812-21. Uniformed Services. Reference material on the Military Services. Includes posture statements, documents on strategy and strategic planning, rules of engagement, and other topics of a general nature.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.