

REQUEST FOR RECORD DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO NC1-330-82-1	
DATE RECEIVED December 21, 1981	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
4-13-82 <i>Date</i>	<i>Robert W. Moore</i> <i>Archivist of the United States</i>

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
Washington Headquarters Services

3 MINOR SUBDIVISION
Records Management Division

4 NAME OF PERSON WITH WHOM TO CONFER
C. A. Cordova

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 7 Dec 81	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>E. E. Lowry, Jr.</i> E. E. Lowry, Jr.	E. TITLE OSD 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
1800	<p>Addition to OSD Administrative Instruction No. 15 - "Records Management," dated 28 April 1981.</p> <p>Office of the Assistant to the Secretary of Defense (Review and Oversight), a newly established component of the Office of the Secretary of Defense.</p> <p>(SEE ATTACHED DISPOSITION SCHEDULE)</p> <p>Changes in this schedule concurred in by C.A.Cordova, OSD Records Mgmt Officer. 1-12-82 RCTagge, NARS-NCD</p> <p>MASS DATA CHANGE SHEET NOT REQUIRED</p>	(new)	52 items

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
1800	<p>Review and Oversight</p> <p>Review and Oversight Files. This chapter deals with those files necessary to administer the review and oversight functions of the Office of the Secretary of Defense.</p> <p>Unless otherwise indicated, all review and oversight files of a permanent nature will be made available to NARS when 30 years old, in 5 year blocks.</p> <p>Files may be further divided depending upon volume by the use of a decimal suffix.</p>	
1801	<p><u>Office Administration Files</u></p> <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>	
1801-01	<p>Review and Oversight Policy. Policies and guidance governing DoD planning and program development on all ATSD(R&O) matters, suggestions for change, preparation and interpretation.</p>	<p>Permanent. Transfer to WNRC 5 years after no longer current.</p>
1801-01.1	<p>Establishment, organization. Documents establishing OATSD(R&O), internal organization, overall mission and functions, organizational plans, manuals and charts.</p>	<p>Permanent. Retire to WNRC when cancelled or superseded. Rejected proposals destroy when no longer required for reference.</p>
1801-01.2	<p>Policy Statements and Testimony. Policy statements and issuances ATSD(R&O). Testimony before Congress and select committees.</p>	<p>Permanent. Transfer to WNRC when 3 years old.</p>

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
1801-02	<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, memoranda, circulars, pamphlets, and bulletins; messages used for expeditious interim changes to instructions; technical newsletters or comparable media used to forward semiofficial and authoritative instructions; and official training materials.</p>	<p>Permanent. Cut off annually or on supersession or obsolescence, as reference needs require. See Section 213 for disposition of master copy.</p>
1801-03	<p>Administrative Files. Documents relating to the overall or general routine administration of review and oversight activities, but exclusive of specific files described in this regulation. These files include, but are not limited to:</p> <ol style="list-style-type: none"> 1. 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. 2. Evaluations of suggestions that do not result in issuing an instruction or establishing a project. 	<ol style="list-style-type: none"> 1. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file. 2. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

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	3. 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.	3. Destroy after 2 years or on discontinuance, whichever is first. However, documents on the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	4. Extracts of reports of inspection, surveys, or audits that pertain to the operation of the mission or function.	4. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	5. Comments on or contributions to news releases or other media furnished to information officers to publicize and promote the mission or functions.	5. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	6. Travel arrangements.	6. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	7. Internal security arrangements.	7. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	8. Personnel records, letters of commendation, job descriptions, etc.	8. Destroy 6 months after individual transfers or is separated.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
9.	Records Management.	
	a. Copy of file plan, approved records disposition schedules.	a. Destroy when superseded.
	b. SF 135's documenting the transfer of records to WNRC.	b. Destroy after records are offered to Archives.
10.	Consultants.	
	a. Copies of RFPs, bids, acceptances, correspondence concerning the proposal.	a. Destroy 2 years after completed work.
	b. Completed consultant study, recommendations, or other actions.	b. Destroy when no longer applicable.
11.	Privacy Act Requests. Individual requests for Privacy Act information referred to ATSD(R&O).	Destroy when 1 year old. OASD(PA) is office of record.
12.	Mailing lists. Mailing lists for Inspector General, OSD and subordinate offices.	Destroy when superseded.
13.	Letters of Appreciation.	Destroy when 3 years old.
14.	Telephone. Directives, long distance numbers and charges.	Destroy when no longer current.
15.	Liaison Files. Documents generated as a result of OATSD(R&O) liaison activities in OSD.	Destroy when 3 years old.
16.	Freedom of Information .	See paragraph 704-02

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>1801-04</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. 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 checklists, amendments, 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>1801-05</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>1801-06</u>	<p>Committee and Conference Records</p> <ol style="list-style-type: none"> 1. Records relating to establishment, organization, membership and policy. 	

<u>Category Number</u>	<u>Description Of Records</u>	<u>Authorized Disposition Instruction</u>
	a. Interagency, advisory or international committees.	1.a. Permanent. Transfer to WNRC when no longer required for reference.
	b. Internal committees.	b Destroy 2 years after termination of committee.
	2. Records created by committees	
	a Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees	
	(1) Records of the sponsor or Secretariat	2.a (1) Permanent Transfer to WNRC when no longer required for reference
	(2) All other copies	(2) Destroy when 3 years old or when no longer needed for reference
	3. All other committee records	3 Destroy when 3 years old or when no longer needed for reference.
<u>1901-07</u>	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.	Destroy 1 year after completion of next comparable visit or on completion of related study

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>1801-08</u>	<p>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 they are used with. Reference paper files consist of the following types of documents</p> <ol style="list-style-type: none"> 1. Notes, drafts, feeder reports, news clippings, similar working papers, and other materials accumulated for preparation of a communication, a study, an investigation, a survey, and 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. 2. Cards, listings, indexes, and similar documents used for facilitating and controlling work. 3. 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. 4. Documents received for general information purposes that require no action and are not required for documentation of specific functions. 	<ol style="list-style-type: none"> 1. 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. 2. Destroy when no longer needed to facilitate or control work. 3. Destroy when superseded, obsolete, or no longer needed for reference. 4. Destroy after 1 year. However, earlier destruction is authorized.

Category Number	Description of Records	Authorized Disposition Instruction
	5. 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.	5. Destroy after 1 year However, earlier destruction is authorized.
	6. 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	6. 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.
<u>1801-09</u>	Congressional Correspondence	See Section 102-16 for disposition
1801-10	Chronological Reading File	See Section 102-16 for disposition.
1801-11	Training	
	1. Employee training. Correspondence, reports and other records relating to the availability of training, orders for training, evaluations, and related documents.	Destroy when obsolete, superseded or 5 years old, whichever is sooner.
	2. Pamphlets on course announcements.	Destroy when superseded.
	3. OATSD(R&O) training programs. Training plans sponsored by the OATSD(R&O) for the OSD audit or investigation community.	Destroy when 5 years old, or 3 years after completion of training.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
1801-12	ATSD(R&O) Operations. Documents created by or acted upon by the ATSD(R&O) in the management of assigned missions.	
1801-12.1	Congressional inquiries. Responses to Congress concerning on-going or proposed audits. <p>a. Those of congressional or public interest, pertaining to substantial policy issues.</p> <p>b. Routine responses.</p>	<p>a. Permanent. Transfer to WNRC when 3 years old. Retire to WNRC when 20 years old.</p> <p>b. Destroy when 3 years old.</p>
1801-12.2	ATSD(R&O)-Generated Reports. Internal reports required by ATSD(R&O) from DoD agencies.	Retire to WNRC 1 year after action is completed. Destroy when 10 years old.
1801-12.3	Hotline referrals. Correspondence, preliminary investigations pertaining to reports often through official channels which are directed to the discovery and elimination of waste and fraud.	Destroy 3 years after final action.
1801-12.4	External Reports. Reports generated by GAO, Congress, OMB or other government agencies.	Retire to WNRC 1 year after action is completed. Destroy when 10 years old.
1802	Defense Audit Files <p>Documents which plan and develop policies and procedures required for directing and controlling performance of DoD audits or surveys of interservice and Defense-wide programs and significant problem areas anywhere in DoD or Defense contractor activities.</p>	Permanent. Retire to WNRC when no longer required for current operations.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
1803	<p>Oversight, Evaluation and Criminal Policy Files</p> <p>Documents which monitor and evaluate DoD internal audit, contract audit, and internal review principles, policies, and procedures. Also, documents which establish policies and procedures relating to the criminal investigative program for all units throughout the DoD.</p>	<p>Permanent. Retire to WNRC when no longer required for current operations.</p>
1804	<p>Criminal Investigation Files</p> <p>Documents which plan and develop policies and procedures required for directing and controlling performance of DoD criminal investigators in significant problem areas anywhere in DoD.</p>	<p>Permanent. Retire to WNRC when no longer required for current operations.</p>
1805	<p>Audit Follow-up, Reports and Management</p> <p>Documents which monitor and review DoD Components' actions of recommendations made in DAS and GAO reports. Arbitration of disputes between auditors and management that deal with savings or efficiencies in DoD operations.</p> <p>1. Audit arbitrations which establish a precedent.</p>	<p>Destroy 6 years and 3 months after the audit has been completed.</p> <p>1. Permanent. Retire to WNRC when no longer required for current operations.</p>
1806	<p>Intelligence</p>	<p>See 500 series. <i>Disposition in accordance with appropriate 500-series category numbers.</i></p> <p><i>RCF / NARS-NED 4-15-82</i></p>

NOTES

1. Records are created by the Office of the Assistant ^{to the} Secretary of Defense (Review and Oversight), a newly established component in the Office of the Secretary of Defense.

2. Among the new categories which require NARS approval, with justification are:

<u>Category Number</u>	<u>Justification</u>
1801-12.2	Present volume on hand: 1 cubic feet Annual accumulation: 10 cubic feet
1801-12.4	Present volume on hand: 1 cubic feet Annual accumulation: 5 cubic feet
1803	Policy in nature. Present volume on hand: 1 cubic feet Annual accumulation: 1 cubic feet

3. In addition it should be noted that the following new categories are equivalent to categories already approved by NARS as shown below:

<u>New Category No.</u>	<u>Equivalent Existing Approved Category</u>
1801-01	301-01
1801-02	301-02
1801-03	301-03
1801-04	301-04
1801-05	301-05
1801-06	301-06
1801-07	301-07
1801-08	301-08
1801-09	303-02.2
1801-10	102-16
1802	305-01.1
1804	210-02.5
1805.1	305-01

Addendum to SF 115, dated 7 Dec 81 - 1800 series of OSD AI 15 "Records Management" Office of the Assistant to the Secretary of Defense (Review & Oversight)

DISPOSITION INSTRUCTION: PERMANENT

- 1801-01 - Review and Oversight Policy: Arrangement: Subject Classification
 Volume to date: 1/4 cu. ft.
 Extent of Annual Accumulation 1/2 cu.ft.
 Date of coverage: June 1981 to present
- 1801-02 - Instruction Files: Arrangement: Subject Classification
 Volume to date: 1/8 cu. ft.
 Extent of Annual Accumulation 1/4 cu.ft.
 Date of Coverage: June 1981 to present
- 1801-06.1.a. Committee and Conference Records (Interagency, advisory or international committees. Arrangement: Subject Classification
 Volume to date: 1/8 cu.ft.
 Extent of Annual Accumulation 1/2 cu.ft.
 Date of Coverage: June 1981 to present
- 1801-06.2.a(1) Records created by committees - Records of sponsor or Secretariat. Arrangement: Subject Classification
 Volume to date: 1/8 cu.ft.
 Extent of Annual Accumulation 1/4 cu.ft.
 Date of Coverage: June 1981 to present
- 1801-12.1.a. ATSD(R&O) Operations Congressional or public interest. Arrangement : Subject Classification
 Volume to date: 1/8 cu.ft.
 Extent of Annual Accumulation: 1/4 cu.ft.
 Date of Coverage: June 1981 to present
- 1802 Defense Audit Files Arrangement: Chronological
 Volume to date 1/2 cu.ft.
 Extent of Annual Accumulation 1 cu.ft.
 Date of Coverage: June 1981 to present

1803 Oversight, Evaluation and Criminal Policy Files Arrangement: Subject classification
Volume to date: .1 cu.ft.
Extent of Annual Accumulation: 2 cu.ft.
Date of coverage: June 1981 to present

1804 Criminal Investigation Files Arrangement: Subject classification
Volume to date: 1/16 cu.ft.
Extent of Annual Accumulation: 1/4 cu.ft.
Date of coverage: June 1981 to present

1805.1 Audit arbitration which establish a precedence. Arrangement: Subject classification
Volume to date: 1/16 cu.ft.
Extent of Annual Accumulation: 1/4 cu.ft.
Date of coverage: June 1981 to present

1806 Intelligence Arrangement: Subject classification
Volume to date: 1/2 cu.ft.
Extent of Annual Accumulation: 1 cu.ft.
Date of coverage: June 1981 to present