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National Archives at College Park



8601 Adelphi Road College Park MD 20740-6001

February 6, 1998

John Greenwald, Jr.

Dear Mr. Greenwald:

This is in response to your Freedom of Information Act request of December 8, 1997. Your request was apparently misdirected, since we did not receive it in this office until January 29, 1998. We have assigned your request number 98-101. In your request you ask for a statute or regulation on the destruction of government documents and all documents pertaining to the destruction of Naval Research Lab (NRL) notebooks and correspondence.

I am enclosing a copy of NARA regulation 36 CFR 1228 Subpart A & B which addresses the issues of scheduling and destroying federal records.

Searching the files of this agency we have discovered between 2500 and 3000 pages responsive to your request for all documents relating to the destruction of the NRL notebooks and correspondence. This includes records disposition plans, old and new Navy records schedules, conversion documents, SF 135s, lists of notebooks, NARA statements, press releases, etc. We would be happy to provide you copies of these documents.

We are not in this request charging either search or review fees and will make the first one hundred pages available at no cost. For the other copies NARA charges a standard twenty cents per page copying fee. You should make your check for \$500 payable to the National Archives and Records Administration. Please send it to the address on the letter head of this letter and mark the envelope Attn: FOIA Officer, Room 4400. If there are less than 2600 pages we will refund the extra money, if there are more we will ask that you send an additional check.

Sincerely,

MARY RONAN
NARA FOIA Officer

Enclosure

on electronic mail systems, see 36 CFR 1234.32.

[55 FR 27428, July 2, 1990, as amended at 60 FR 44640, Aug. 28, 1995]

Subpart A—Records Disposition Programs

§ 1228.10 Authority.

The head of each agency (in accordance with 44 U.S.C. 2904, 3102, and 3301) is required to establish and maintain a records disposition program to ensure efficient, prompt, and orderly reduction in the quantity of records and to provide for the proper maintenance of records designated as permanent by NARA.

[55 FR 27428, July 2, 1990]

§ 1228.12 Basic elements of disposition programs.

The primary steps in managing a records disposition program are given below. Details of each element are contained in the NARA records management handbook, *Disposition of Federal Records* (NSN 7610-01-055-8704).

(a) Issue a program directive assigning authorities and responsibilities for records disposition activities in the agency and keep that directive up to date.

(b) Develop, implement, and maintain an accurate, current, and comprehensive records schedule.

(c) Train all agency personnel taking part in the agency's records disposition activities.

(d) Publicize the program to make all agency employees aware of their records disposition responsibilities.

(e) Evaluate the results of the program to ensure adequacy, effectiveness, and efficiency.

[55 FR 27428, July 2, 1990]

Subpart B—Scheduling Records

SOURCE: 55 FR 27429, July 2, 1990, unless otherwise noted.

§ 1228.20 Authorities.

(a) The head of each agency shall direct the creation and preservation of records containing accurate and complete documentation of the organization, functions, policies, decisions, pro-

cedures, and essential transactions of the agency (44 U.S.C. 3101). The National Archives and Records Administration shall establish standards for the retention of those records having continuing value, and assist Federal agencies in applying the standards to records in their custody (44 U.S.C. 2905).

(b) No Federal records shall be destroyed or otherwise alienated from the Government except in accordance with procedures described in this part 1228 (44 U.S.C. 3314).

§ 1228.22 Developing records schedules.

The primary steps in developing agency records schedules are given below. Details in each step are contained in the NARA records management handbook, *Disposition of Federal Records* (NSN 7610-01-055-8704). Ultimately, all records of an agency must be scheduled, but they need not all be scheduled at the same time. An agency may schedule the records of one function, program or organizational element at a time.

(a) Determine the functions and activities documented by the records to be scheduled.

(b) Prepare an inventory of the records including a description of their medium, location, volume, inclusive dates, informational content and use.

(c) Evaluate the period of time the agency needs each records series or system by reference to its uses and value to agency operations or legal obligations.

(d) Based on agency need, formulate specific recommended disposition instructions for each records series or each part of an automated information system, including file breaks, retention periods for temporary records, transfer periods for permanent records, and instructions for the retirement of records to Federal records centers, when appropriate. Recommended retention periods take into account the rights of the Government and the rights of those directly affected by agency actions.

(e) Assemble into a draft schedule the descriptions and recommended disposition instructions for logical blocks of records, i.e., entire agency, organizational component, or functional area.

(f) Obtain approval of the records schedules from NARA (and from the General Accounting Office, when so required under title 8 of the GAO "Policy and Procedures Manual for the Guidance of Federal Agencies").

§ 1228.24 Formulation of agency records schedules.

(a) *General.* Agency records schedules approved by the Archivist of the United States specify the disposition for agency records. Records of continuing (permanent) value will be scheduled for retention and immediate or eventual transfer to the legal custody of NARA. All other records will be scheduled for destruction or donation after a specific period of time based on administrative, fiscal, and legal values.

(b) *Characteristics of schedules.* Though records disposition authority may be requested from NARA on a program-by-program, function-by-function, or office-by-office basis, all agency records must be scheduled. Schedules must follow the guidelines provided below:

(1) Schedules shall identify and describe clearly each series or system and shall contain disposition instructions that can be readily applied. (Additional information is required for permanent records as specified in § 1228.28(b).) Schedules must be prepared so that each office will have standing instructions detailing the disposal, transfer, or retention of records.

(2) SF 115s shall include only new records not covered by the General Records Schedules (GRS) (see subpart C), deviations from the GRS (see § 1228.42), or previously scheduled records requiring changes in retention periods or substantive changes in description.

(3) All schedules shall take into account the physical organization of records or the filing system so that disposal or transfer can be handled in blocks.

(4) The disposition of nonrecord materials is controlled by instructions in the agency's printed or published records disposition manual. These instructions do not require NARA approval. Such items shall not be included on SF 115s. Non-record materials, such as extra copies of documents

preserved solely for reference, and stocks of processed documents, and personal materials shall be maintained separately from official agency files to aid in records disposition.

(c) *Provisions of schedules.* Records schedules shall provide for:

(1) The destruction of records that have served their statutory, fiscal, or administrative uses and no longer have sufficient value to justify further retention. Procedures for obtaining disposal authorizations are prescribed in § 1228.30;

(2) The removal to a Federal records center (or to an agency records center approved under subpart K) of records not eligible for immediate destruction or other disposition but which are no longer needed in office space. These records are maintained by the records center until they are eligible for further disposition action;

(3) The retention of the minimum volume of current records in office space consistent with effective and efficient operations; and

(4) The identification of records of permanent value in accordance with § 1228.28, and the establishment of cut-off periods and dates when such records will be transferred to the legal custody of NARA.

§ 1228.28 Request for records disposition authority.

(a) *Submission.* Requests for records disposition authority shall be initiated by Federal agencies by submitting Standard Form 115, Request for Records Disposition Authority, to NARA (NIR). An SF 115 is used for requesting authority to schedule (or establish the disposition for) permanent and temporary records, either on a recurring or one-time basis.

(1) New Federal agencies shall apply General Records Schedules to eligible records and shall submit to NARA SF 115s covering all remaining records within 2 years of their establishment.

(2) Agencies shall submit to NARA schedules for the records of new programs and of programs that are reorganized or otherwise changed in a way that results in the creation of new or different records within 1 year of the implementation of the change.

(b) *Certification.* The signature of the authorized agency representative on the SF 115 shall constitute certification that the records recommended for disposal do not or will not have sufficient administrative, legal, or fiscal value to the agency to warrant retention beyond the expiration of the specified period and that records described as having permanent value will be transferred to the National Archives upon expiration of the stated period.

(c) *Disapproval of requests for disposition authority.* Requests for records disposition authority may be returned to the agency if the SF 115 is improperly prepared. The agency shall make the necessary corrections and resubmit the form to NARA (NIR). NARA may disapprove the disposition request for an item if, after appraisal of the records, NARA determines that the proposed disposition is not consistent with the value of the records. In such cases, NARA will notify the agency in writing.

[55 FR 27429, July 2, 1990; 55 FR 28136, July 9, 1990]

§ 1228.28 Scheduling permanent records.

(a) *Initiation.* Federal agencies propose permanent retention of records in accordance with guidelines contained in the NARA records management handbook, *Disposition of Federal Records* (NSN 7610-01-055-8704).

(b) *Requirements.* Each item proposed for permanent retention on an SF 115 shall include the following:

- (1) Records series title used by agency personnel to identify the records;
- (2) Complete description of the records including physical type and information contents;
- (3) Inclusive dates;
- (4) An arrangement statement;
- (5) Statement of restrictions on access which NARA should impose in conformity with the Freedom of Information Act if the records are proposed for immediate transfer;
- (6) An estimate of the volume of records accumulated annually if the records are current and continuing;
- (7) The total volume to date; and
- (8) Disposition instructions, developed using the following guidelines:

(i) If the records series or system is current and continuing, the SF 115 include a disposition instruction specifying the period of time after which records will be transferred to the National Archives, normally within 5 years for paper records, 5-10 years for audiovisual or microform records, as soon as the records become inactive or the agency cannot meet the maintenance requirements found in § 1228.15 of this part for electronic records.

(ii) If the records series or system is nonrecurring, i.e., no additional records will be created or acquired, the agency may propose either immediate or future transfer to the National Archives.

(c) *Determination.* NARA will determine whether or not records are of permanent value and when the transfer of the permanent records will take place.

(1) If NARA determines that records are not permanent, it will notify the agency and negotiate an appropriate disposition. The disposition instruction on the SF 115 will be modified prior to NARA approval.

(2) If NARA determines that records are permanent, but that the transfer instructions are not appropriate, it will negotiate appropriate transfer terms with the agency. The disposition instruction on the SF 115 will be modified prior to NARA approval.

[55 FR 27429, July 2, 1990; 55 FR 31982, Aug. 1, 1990]

§ 1228.30 Scheduling temporary records.

(a) *Initiation.* Federal agencies request authority to dispose of records either immediately or on a recurring basis. Requests for immediate disposal are limited to records already in existence which no longer accumulate. For recurring records, approved schedules provide continuing authority to destroy the records. The retention periods approved by NARA are mandatory, and the agency shall dispose of the records after expiration of the retention period, except as provided in § 1228.54.

(b) *Requirements.* Each item on an SF 115 proposed for eventual destruction shall include the following:

- (1) Records series title used by agency personnel to identify the records;

(2) Description of the records including physical type and informational content;

(3) If the records are contained in a Privacy Act system of records, a citation to the agency's alpha-numeric or numeric code designation for the system of records. If the system of records was added or deleted since the publication of the current Office of the Federal Register compilation of Privacy Act Issuances, the agency shall also cite the date and page of the FEDERAL REGISTER on which the new system notice appears or the deleted system is announced.

(4) Disposition instructions, developed using the following guidelines:

(i) If the records series or system is current and continuing, the SF 115 will include a disposition instruction specifying the period of time after which the records will be destroyed.

(ii) If the records series or system is nonrecurring, i.e., no additional records will be created or acquired, the agency may propose either immediate destruction or destruction on a future date.

(c) *Determination.* NARA may determine that records proposed as temporary merit permanent retention and transfer to the National Archives. In such cases, NARA arranges with the agency to change the disposition instruction prior to approval of the SF 115.

(d) *General Accounting Office concurrence.* Each Federal agency shall obtain the approval of the Comptroller General for the disposal of program records less than 3 years old and for certain classes of records relating to claims and demands by or against the Government, and to accounts in which the Government is concerned in accordance with the GAO "Policy and Procedures Manual for Guidance of Federal Agencies," title 8—Records Management (44 U.S.C. 3309). This approval must be obtained before the approval of the disposal request by NARA, but the request may be submitted concurrently to GAO and NARA.

(e) *Withdrawn items.* Agencies may request that items listed on the SF 115 be withdrawn in order to aid in NARA's processing (appraisal) of the remaining items on the schedule.

(1) If, during the course of the appraisal process, NARA determines that records described by an item(s) on the proposed schedule do not exist or are not arranged as stated on the SF 115, NARA may request the agency to withdraw the item(s) from consideration, if the agency is unable to offer sufficient clarification.

(2) If NARA and the agency cannot agree on the retention period for an item(s), the item(s) may be withdrawn. In these cases, the agency will submit an SF 115 with a revised proposal for disposition within 6 months of the date of the approval of the original SF 115.

[55 FR 27429, July 2, 1990, as amended at 57 FR 22432, May 28, 1992]

§ 1228.32 Request to change disposition authority.

(a) Agencies desiring to change the approved retention period of a series or system of records shall submit an SF 115. Disposition authorities contained in an approved SF 115 are automatically superseded by approval of a later SF 115 applicable to the same records unless the later SF 115 specified an effective date. Agencies submitting revised schedules shall indicate on the SF 115 the relevant schedule and item numbers to be superseded, the citation to the current printed records disposition schedule, if any, and/or the General Records Schedules and item numbers that cover the records.

(b) Agencies proposing to change the retention period of a series or system of records shall submit with the SF 115 an explanation and justification for the change. The need to retain records longer than the retention period specified in the disposition instructions on an approved SF 115 for purposes of audit, court order, investigation, litigation, study, or any other administrative purpose that justifies the temporary extension of the retention period shall be governed by the procedures set forth in § 1228.54. Agencies shall not submit an SF 115 to change the retention period in such cases.

[61 FR 19554, May 2, 1996; 61 FR 24702, May 16, 1996]



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, D.C. 20350-2000

IN REPLY REFER TO

5720
Ser N09B30P/8U512569
February 17, 1998

Mr. John Greenewald, Jr.
[REDACTED]

Dear Mr. Greenewald:

This refers to your Freedom of Information Act (FOIA) request of December 8, 1997, in which you seek copies of all documents pertaining to the inadvertent destruction of Naval Research Laboratory documents by the National Archives. Your request was received by this Department on January 20, 1998. Our file number for your request is 9800349.

In an effort to assist you, we have forwarded your request to the Head, Navy Directives and Records Management Branch (N09B35), 2000 Navy Pentagon, Washington, DC 20350-2000, for action and direct response to you.

Should you require further assistance, please contact Ms. Tracy Ross of my staff at (202) 685-6546.

Sincerely,

Doris M. Lama

DORIS M. LAMA
Head, DON PA/FOIA Policy Branch
By direction of the
Chief of Naval Operations



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, D.C. 20350-2000

IN REPLY REFER TO
5720
N09B35/16
12 March 1998

Mr. John Greenewald, Jr.
[REDACTED]

Dear Mr. Greenewald:

This refers to your 8 December 1997 Freedom of Information Act (FOIA) request for copies of all records pertaining to the inadvertent destruction of Naval Research Laboratory (NRL) documents and for a copy of the regulation or directive that governs the destruction of government records.

During our research we learned that the National Archives and Records Administration (NARA) has notified you that they identified between 2,500 and 3,000 pages of documents as responsive to your request. Any records maintained in Navy files regarding the destruction of the NRL documents duplicate those identified by NARA. Therefore, we are not referring your request to NRL to conduct a separate search of their files.

NARA advises that they have provided you with a copy of the regulation governing records disposition by government agencies, 36 CFR 1228 Subparts A and B. The directives governing records disposition within the Department of the Navy is Secretary of the Navy Instruction (SECNAVINST) 5212.5C, entitled "Navy and Marine Corps Records Disposition Manual". The Manual is available on the internet at www.dodssp.daps.mil/usndirs.htm.

Because SECNAVINST 5212.5C has been made available on the internet and because it contains several hundred pages, we are not providing you a copy of the entire document. To assist you we are providing a copy of the sections from the current and former Manual that contain disposition schedules for NRL documents.

All fees incurred by this office during the processing of your request are waived in this instance. I can be reached at the above address or by phone at (202) 433-2434.

Sincerely,

J. C. Jensen
Head, Navy Directives
and Records Management

Enclosure:
Disposition Schedules

SSIC 3891

ACOUSTIC PRODUCTION RECORDS

Retire records under the appropriate subsection of SSIC 3890.

SSIC 3900-3999

RESEARCH, DEVELOPMENT, TEST, AND EVALUATION (RDT&E) RECORDS

RECORDS IN THIS SECTION (SSIC 3900-3999) ARE CREATED BY ACTIVITIES IN CONNECTION WITH TECHNICAL AND SPECIFIC RESEARCH AND DEVELOPMENT PROGRAMS RELATING TO THE DEVELOPMENT OF NEW CONCEPTS, TECHNIQUES, WEAPONS, EQUIPMENT, AND MATERIALS, OR THE IMPROVEMENT, MODIFICATIONS, OR REFINEMENT OF EXISTING TECHNIQUES, WEAPONS, OR MATERIALS. THEY INVOLVE ALL PHASES OF RESEARCH AND DEVELOPMENT, INCLUDING PLANNING AND THE ESTABLISHMENT OF REQUIREMENTS AND PRELIMINARY CHARACTERISTICS, EXPERIMENTATION, DESIGN, ENGINEERING, MODIFICATION, TESTING, AND ACCEPTANCE. THEY ARE ACCUMULATED BY RESEARCH LABORATORIES, TEST AND DEVELOPMENT CENTERS, STATIONS OR UNITS, PROVING GROUNDS, FACILITIES, AND OTHER RESEARCH AND DEVELOPMENT OR TESTING ACTIVITIES OR OFFICES. THEY INCLUDE BASIC RECORDS CREATED BY RESEARCH AND DEVELOPMENT ACTIVITIES THAT HAVE LASTING SCIENTIFIC OR RESEARCH VALUES, SUCH AS THOSE THAT DOCUMENT PROGRAM DIRECTION, REVIEW, AND APPRAISAL OR ANALYSIS; THE RESEARCH ACTIVITY'S OVER-ALL ORGANIZATION, FUNCTIONS, PROCEDURES, AND OPERATIONS; OR THE CONDUCT OF INDIVIDUAL PROJECTS AND SCIENTIFIC AND TECHNICAL RESULTS AND CONCLUSIONS THAT MAY BE USEFUL FOR FUTURE RESEARCH. SCIENTIFIC DATA ACCUMULATED DURING THE ACCOMPLISHMENT OF A SPECIFIC PROJECT GENERALLY ARE REFLECTED IN LABORATORY NOTEBOOKS AND IN PROGRESS REPORTS. THE REPORTS REFLECT THE PROGRESS AND FINAL RESULTS OF THE RESEARCH EFFORT. WHEN SPECIFIC RESEARCH PROJECTS ARE OF LONG DURATION, MUCH DATA OF A REPETITIVE, CONTINUING NATURE MAY ACCUMULATE FROM SUCH PROCESSES AS TESTS OR EXPERIMENTS. THE DATA ARE USUALLY RECORDED IN ROUGH NOTES, ON PUNCHED CARDS, ELECTRONIC TAPES, COMPUTER PRINT

OUTS, OR COMPARABLE MEDIA, AND THEN CONDENSED IN PUBLISHED REPORTS OR STATISTICAL SUMMARIES SO SCIENTISTS MAY USE IT FOR COMPARATIVE OR OTHER PURPOSES. WHEN THE DATA IS THUS RETAINED IN CONDENSED FORM, THE SOURCE MATERIAL MAY BE CONSIDERED DISPOSABLE. TECHNICAL REPORTS AND OTHER DATA ACCUMULATED BY PRIVATE COMMERCIAL OR RESEARCH ORGANIZATIONS PERFORMING RESEARCH FUNCTIONS UNDER NAVY CONTRACT ARE INCLUDED IN THE 3900-3969 SERIES. THE TERM "PROJECT" AS USED HERE APPLIES TO PROJECTS, SUBPROJECTS, TASKS, OR PROJECT PHASES. WHERE FEASIBLE, IT MAY BE DESIRABLE TO CONSOLIDATE RELATED RECORDS INTO A SINGLE PROJECT FILE. BUT IF PROJECTS ARE OF LONG DURATION AND THE VOLUME OF RECORDS IS LARGE, RECORDS RELATING TO INDIVIDUAL SUBPROJECTS, TASKS, OR PHASES MAY BE CUT OFF AND RETIRED TO FEDERAL RECORDS CENTERS OR LOCAL INTERIM STORAGE UPON COMPLETION OF THE SUBPROJECT, TASK, OR PHASE AND IN THE SAME MANNER AS FOR CONTRACT CASE FILES COVERED UNDER SSIC 4200 OF THIS INSTRUCTION.

SSIC 3900-3915

RESEARCH AND DEVELOPMENT RECORDS

RELATED RECORDS UNDER SSIC 3901 - RDT&E PLANS, SSIC 3902 - RDT&E PROGRAMS, SSIC 3903 - RDT&E PROJECTS, SSIC 3904 - RDT&E FUNDING, SSIC 3905 - RDT&E REPORTS, SSIC 3906 - RDT&E FLEET RESOURCES SUPPORT, SSIC 3907 - OTHER RDT&E SUPPORT, SSIC 3910 - GENERAL RESEARCH AND DEVELOPMENT, SSIC 3911 - R&D PLANS, SSIC 3912 - R&D PROGRAMS, SSIC 3913 - R&D PROJECTS, SSIC 3914 - R&D FUNDING, AND SSIC 3915 - R&D REPORTS SHOULD BE RETIRED TO FEDERAL RECORDS CENTERS UNDER THE APPROPRIATE SUBSECTION OF SSIC 3900 OF THIS INSTRUCTION.

SSIC 3900

GENERAL RDT&E RECORDS

1. PRIMARY PROGRAM RECORDS

a. Files and other records of the Secretary of the Navy, the Office of the Chief of Naval Operations, Commandant of the Marine Corps, Office of Naval Research (ONR), and Systems Command Headquarters.

Correspondence, memoranda, reports, studies, record copies of instructions and notices, and other records that document the establishment, development, and accomplishment of the Navy's overall research and development program. Exclude reports and project case files for specific R&D projects that are maintained by Program and Project Managers.

Permanent. Retire to WNRC when 4 years old.
Transfer to NARA when 20 years old.

b. Files and other records of major laboratories and other activities whose primary function is research and development or testing. Correspondence, reports, studies, and similar records that document the overall project operations and administration of the RDT&E function at major laboratories and other RDT&E field facilities responsible for the performance, development, review, appraisal, or analysis of research and development projects. Exclude Annual Command History prepared in accordance with OPNAV Instruction 5750.12E and Marine Corps Historical Summaries filed under SSIC 5757 of this instruction.

Retire to nearest FRC when 5 years old. Destroy when 10 years old.

2. **GENERAL CORRESPONDENCE FILES.** Files of activities and offices performing research and development functions that relate to the routine internal operation and administration of the activity.

Destroy when 2 years old.

3. **NAVAL RESEARCH ADVISORY COMMITTEE (NRAC) FILES.** Records consist of minutes of quarterly meetings, letters of nomination and appointment to the committee, mission definition statements, and formal reports submitted to the Secretary of the Navy.

Permanent. Transfer annually when 5 years old to the Director of Naval History, Naval Historical Center. Director of Naval History transfer to NARA in 5-year blocks when most recent records in the block are 50 years old.

4. **TECHNICAL BOARDS AND COMMITTEE'S FILES.** Records of boards and committees studying assigned technical research and development problems, including requirements for or the authorization of projects, the scheduling and phasing of projects or programs, and the control and coordination of various research and development project phases or programs. Records consist of agendas, directives, minutes of meetings, papers relating to the establishment, revision, or termination of projects, and other papers reflecting

the boards or committees actions, recommendations, and accomplishments. Exclude interim and final reports on specific projects, and material included in the Project Case File.

a. Official Board or Committee Files.

Permanent. Retire to nearest FRC in 5-year blocks when 5 to 10 years old. Transfer to NARA when 30 years old.

b. Other copies of board and committee files accumulated by members in the execution of their duties.

Destroy when 5 years old or when no longer needed for reference, whichever is sooner.

5. **PROJECT CASE FILES.** Files maintained by Project Managers at laboratories, and other activities responsible for research and development functions. The file is a complete history of each project from initiation through research, development, design and testing, to completion. Included are project authorization documents; project cards; technical characteristics; test and trial results; drawings, specifications and photographs considered essential to document design, modification and engineering development; all technical and progress reports (including reports received from contractors); notices of completion; and correspondence influencing the direction or course of action taken on a project.

Permanent. Place in inactive project file upon completion or termination. Retire inactive file to nearest FRC when 5 years old or no longer needed for reference, whichever is later. Transfer to NARA when 25 years old.

6. **PROGRAM MANAGERS CASE FILES.** Case files for RDT&E projects maintained by Systems Command or other Headquarters Program Managers. The records contained in this file are similar in nature to the Project Case file maintained by the Project Manager at laboratories and other R&D activities under SSIC 3900.5.

Cut off file when item becomes operational or at termination of the project and retire to nearest FRC. Destroy when 10 years old.

7. **PROGRESS REPORT RECORDS.** Reports on ongoing and recently completed R&D projects that are submitted by research facilities, laboratories, or project managers to higher authority. Reports generally show initiation, objectives, approach, progress, and degree of completion for R&D projects. Files include feeder reports and related papers.

Cut off file when item becomes operational or at termination of the project and retire to nearest FRC. Destroy when 10 years old.

a. Research and Technology Work Unit Summary (DD 1498). Summary progress report on all ongoing R&D projects.

(1) Original report prepared by laboratory or research facility.

Submit semiannually to Defense Technical Information Center (DTIC) for inclusion in R&T Work Unit Information System (WUIS) database.

(2) Reporting Office Copy. Paper copy or in machine readable form.

Destroy when 2 years old.

b. Progress Reports Submitted to Program Manager on Specific Projects.

File with Project Case File under SSIC 3900.5 of this instruction.

c. Feeder Reports Used for Compilation of Consolidated Reports.

Destroy upon submission of consolidated report.

8. **PROJECT WORKING AND CONTROL FILES.** Copies of documents essentially duplicated in project case files; preliminary and intermediate sketches, drawings, specifications, charts, graphs, photographs; other working papers determined not to be of sufficient value to incorporate in the project case file; and related project control and progress control records.

Retire to nearest FRC upon completion of project. Destroy 5 years after completion.

9. **LABORATORY NOTEBOOKS.** Notebooks used to record and preserve engineering, scientific, and technical data for R&D projects reflecting progress and how results were achieved.

a. Formal Laboratory Notebooks. Numbered bound volumes issued by the laboratory and containing serial numbered pages. Maintained by an individual assigned to the project under recognized scientific conventions, all entries are dated, signed by the person maintaining the notebook, and witnessed by a colleague familiar with the experiment or scientific principle involved.

Permanent. Retire to nearest FRC when 6 years old.

Transfer to NARA when 30 years old.

b. Informal Laboratory Notebooks that do not meet the criteria established for Formal Laboratory Notebooks.

(1) Informal Laboratory Notebooks containing data essential for establishing patent rights.

Retire to nearest FRC when 6 years old. Destroy when 25 years old.

(2) Informal Laboratory Notebooks containing technical data which is routine, fragmentary, or essentially duplicated in technical reports or papers.

Retire to nearest FRC when 5 years old. Destroy when 10 years old.

10. **TECHNICAL WORKING DATA.** Data accumulated during research and development and testing operations that do not pertain to individual projects. (Summary and usable data having continuing value are contained in technical reports or retained laboratory notebooks).

Destroy when 5 years old, superseded, or obsolete, whichever is earlier.

11. **TECHNICAL LABORATORY WORKING PAPERS.** Technical notes and data, measurements, formulas, graphs, drawings, and other similar material accumulated in connection with specific research, development, and testing projects. These essentially are summarized in or used as the basis for preparation of technical reports, but continue to have temporary research value after a project's completion. Exclude laboratory notebooks.

Retire to nearest FRC 5 years after completion or termination of project. Destroy when 10 years old. Activities retiring records indicate project termination date on SF 135.

12. **TECHNICAL REPORT FILES.** Published Technical Reports (TR), Technical Notes (TN), Technical Memorandum (TM), (or unpublished manuscript of these reports) prepared in connection with a project or task. These reports summarize the progress, findings, and conclusions reached relative to specific projects. They may also clarify and supplement information contained in laboratory notebooks and other source data. Include published bibliographies and reports received from contractors.

a. Official Record Copy.

File with Project Case File under SSIC 3900.5 of this instruction.

b. Distribution Copy.

Send one copy of each publication to DTIC Central Depository for Research Records.

c. Laboratory Reference Copy. Maintained in laboratory or research activity's library.

Destroy when no longer needed for reference.

13. **TECHNICAL REFERENCE FILES.** Copies of technical reports, publications, specifications, drawings, and other technical or scientific data received from other sources and used as a reference source in the performance of research and development functions.

Destroy when superseded, cancelled, or no longer needed for reference.

14. **DRAWINGS AND SPECIFICATIONS FILES.** Drawings and specifications design, test procedures, and technical characteristics of items developed. The drawings show, in visual form, the mechanical and physical characteristics of the items developed and the specifications explain these characteristics in detail. These are essential for production and servicing of the item developed and for modification, redesign, or continuing research on the item or related items.

a. Completed set of original drawings and related specifications.

Transfer to Product Life Cycle Manager or Systems Command as directed by project sponsor upon completion of project.

b. One copy of final product drawings and specifications.

File with Project Case File under SSIC 3900.5 of this instruction.

c. All other copies of drawings and specifications.

Destroy when no longer required for reference.

15. **FEASIBILITY STUDY FILES.** Files relating to exploration of the feasibility of unsolicited proposals for projects received from individuals.

a. Approved Proposals

File in related project case file.

b. Rejected Proposals

Destroy 1 year after completion of investigation.

16. **CONTRACTOR INDEPENDENT RESEARCH AND DEVELOPMENT PROGRAM RECORDS.** Records created by contractor-funded research and development not otherwise sponsored by a contract or grant and falling under one of three broad categories; basic and applied research, development, or systems and concept formulation.

a. Technical evaluation summary reports, potential DON relationship determinations, cost classification determinations, contractor technical plans determined to have Navy technical lead. Records accumulated by Navy IR&D technical Manager.

Retire to nearest FRC when 3 years old. Destroy when 11 years old.

b. Technical evaluation forms, technical evaluation summary reports and related documents accumulated by evaluating activities.

Destroy when 3 years old.

c. Contractor technical plans not containing Navy lead responsibilities.

Destroy when 1 year old.

d. Navy IR&D Policy Council Records. Include announcements of meetings, agendas, background material, briefing packages, and minutes.

Retire to WNRC when 3 years old. Destroy when 25 years old.

17. **RESEARCH CONTRACT OR AGREEMENT FILES.** Formal contracts or agreements with universities, commercial concerns, individuals, and others for research and development work and related papers. (Exclude technical or scientific data furnished DON under the terms of contracts or agreements.)

a. Case Files of Contracts and Agreements Relating to Basic or Applied Research Which can be Identified as Involving Subject Matter Having Potential for a Patent Infringement Claim.

Destroy when 25 years old. (NC1-NU-81-3)

b. All Other Files

Retire under appropriate section of SSIC 4200 of this instruction.

18. LOGS OR OTHER CONTROL RECORDS.

Records for project task assignments, project approvals or disapprovals, or research procurement justifications and approvals.

Destroy when 2 years old or upon completion of project, whichever is later.

19. ONR BRANCH OFFICES' RECORDS

a. GENERAL CORRESPONDENCE FILES AND REPORTS OF ONR Branch Offices.

Destroy when 2 years old.

b. ONR Periodic Reports. Copies of reports submitted to ONR, Washington DC or to other higher authority and copies of reports received from other branch offices.

Destroy when 1 year old.

c. Status Reports. Reports submitted periodically by contractors to report on progress of scientific projects.

Destroy when 2 years old or after technical report has been issued, whichever is later.

d. Technical Reports. Reports submitted by contractors upon completion of a particular contract or of a project, contract phase, or when significant results are to be reported. (Exclude master copies of reports accumulated by ONR, Washington DC, and covered in SSIC 3900, para. 12.)

Destroy when report or subject areas of reports are no longer needed for reference.

e. Disapproved Proposals for Research Projects or Contracts. Correspondence and other documents relating to rejected or disapproved proposals for research projects. Proposals may be received from individuals, commercial firms, private institutions, and others.

Destroy when 2 years old, provided the proposal is still in a "rejected" status.

f. Correspondence Pertaining to General Naval Research or Scientific Matters. (Exclude files not relating to a specific project, contract, or proposal.

Destroy when 2 years old.

g. ONR Research Contract or Project Order Record Cards and Subsidiary Contracts Control Cards. Index or control record of each task, project order, or contract. (See also SSIC 4200.)

Retire under appropriate section of SSIC 4200 of this instruction.

h. Contract and Purchase Order (Case) Files. Original proposals, project justifications, correspondence, and other documents pertaining to the award and administration of contracts or orders, bids, receipt and inspection papers.

Retire under appropriate section of SSIC 4200 of this instruction.

i. Correspondence and Papers Pertaining to License Matters Under Specific Contracts. Includes patent clauses thereunder, assignments, license approvals, and agreements obtained.

Retain on board until 2 years after termination of contract or of patent involved in agreement, whichever is earlier, then retire to nearest FRC.
Destroy when 25 years old.

j. Patent Clause (Contract) Records. Card or other index record of designated contracts containing patent clauses, and of inventions reported, agreements obtained and assignments and licenses approved thereunder.

Retain 2 years after termination of contract or 2 years after termination of patent agreement, whichever is earlier.

k. General Correspondence Files Accumulated by ONR Branch Offices. Files pertaining to naval contract matters and related functions. (Exclude correspondence relating to specific contracts and filed in contract case files.)

Destroy when 2 years old.

l. Other Records Relating to Patents, Copyrights, Inventions, and Trademarks.

Retire records under appropriate section of SSIC 5870 of this instruction.

SSIC 3960

GENERAL TEST AND EVALUATION RECORDS

1. TEST AND EVALUATION POLICY FILES.

Records consist of correspondence files containing T&E

(16) AEROSPACE TECHNICAL INTELLIGENCE REPORTS OR STUDIES produced by Aerospace Technical Intelligence Center, Wright Patterson Air Force Base, Ohio: information copies accumulated by naval activities.

Retention period: until obsolete (deleted from latest ATIC cumulative index of current publications).

3830 STRATEGIC INTELLIGENCE RECORDS

(1) STRATEGIC INFORMATION FILES: records containing war strategic data.

Retention period: permanent.

3850 COUNTERINTELLIGENCE RECORDS

(1) COUNTERINTELLIGENCE FILES: working files comprising data on individuals, companies, associations, and other collective groups of individuals.

Retention period: 1 year after file is closed, then check with Director of Naval Intelligence to determine completeness of file; destroy when it is determined that information is completely duplicated.

3900 RESEARCH AND DEVELOPMENT RECORDS - GENERAL

These records are created by activities in connection with technical and scientific research and development programs relating to the development of new concepts, techniques, weapons, equipment, and materials, or the improvement, modification, or refinement of existing techniques, weapons, or materials. They involve all phases of research and development, including planning and the establishment of requirements and preliminary characteristics, experimentation, design, engineering, modification, testing, and acceptance. They are accumulated by research laboratories, test and development centers, stations or units, proving grounds, facilities, and other research and development or testing activities or offices.

They include basic records created by research and development activities that have lasting scientific or research values, such as those that document (a) program direction, review, and appraisal or analysis; (b) the research activity's over-all organization, functions, procedures, and operations; or (c) the conduct of individual projects and scientific and technical results and conclusions that may be useful for future research.

Scientific data accumulated during the accomplishment of a specific project generally are reflected in laboratory notebooks and in progress reports and final technical reports. The reports reflect the progress and final results of the research effort. But since laboratory notebooks and other subsidiary scientific papers show how these results were achieved, they may possess potential reference value for future scientific research or for adjudicating patent and invention claims.

When specific research projects are of long duration, much data of a repetitive, continuing nature may accumulate from such processes as tests or experiments. The data are usually recorded in rough notes, on punched cards, electronic tapes, or comparable media, and then condensed in published reports or statistical summaries so that scientists may use it for comparative or other purposes. When the data is thus retained in condensed form, the source material may be considered disposable.

Technical reports and other data accumulated by private commercial or research organizations performing research functions under Navy contract are included in this (3900-3960) series.

The term "project" as used here applies to projects, subprojects, tasks, or project phases. Where feasible, it may be desirable to consolidate related records into a single project file. But if projects are of long duration and the volume of records is large, records relating to individual subprojects, tasks, or phases may be cut off and transferred to records center or local interim storage upon completion of the subproject, task, or phase and in the same manner as for contract case files covered in para. 4280.

The destruction provisions in this (3900) series pertaining to technical research and development records are permissive.

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files and other records of the Office of the Chief of Naval Operations, the Office of the Commandant of the Marine Corps, the Office of Naval Research, and of other departmental offices and bureaus concerned with the development and accomplishment of research and development plans, programs, policies,

and procedures relating to their assigned missions.

Retention period: permanent. (Transfer to center storage when no longer needed on board.)

(b) General correspondence files, schedules, reports, and other papers of other research and development activities, departments or other organizational units that reflect the overall operations and administration of the research and development function. These primarily are accumulated by field laboratories or other research activities and offices responsible for the performance, development, review, and appraisal or analysis of research and development projects (such as Naval Research Laboratory, Washington, D. C.; Naval Ordnance Laboratories; Technical Devices Center, Port Washington; Air Development Center; David Taylor Model Basin; the Navy Unit, Army Chemical Center; other medical, engineering, ships, aeronautical, astronautical, and other experimental, research, development or testing laboratories, facilities, etc.).

Retention period: permanent. (Transfer to inactive file when 5 years old and to nearest Federal Records Center 5 years later or when no longer needed for local reference.)

(2) GENERAL CORRESPONDENCE FILES of activities and offices performing research and development functions that relate to the routine internal operation and administration of the office.

Retention period: 2 years.

(3) TECHNICAL BOARDS AND COMMITTEES FILES: records of boards and committees studying assigned technical research and development problems, including requirements for or the authorization of projects, the scheduling and phasing of projects or programs, and the control and coordination of various research and development project phases or programs. Files consist of agendas, directives, minutes of meetings, papers relating to the establishment, revision, or termination of projects; and correspondence and other papers reflecting the boards or committees' actions, recommendations, and accomplishments:

(a) Official board or committee files.

Retention period: permanent. (Transfer to inactive file when 5 years old and to the nearest Federal Records Center 5 years later or when no longer required for local research or reference.)

(b) Copies accumulated and used by board or committee members in carrying out their assigned tasks.

Retention period: 5 years or until no longer needed for reference, as appropriate.

(4) PROJECT FILES: project case or other files maintained by laboratories and other activities and offices responsible for research and development functions, reflecting a complete history of each project from initiation through research, development, design, and testing to completion. Include project authorization documents; project cards; technical characteristics; test and trial results; drawings, specifications, and photographs considered essential to document design, modification, and engineering development; all technical and progress reports (including reports received from contractors); notices of completion; and correspondence influencing the direction or course of action taken on a project.

Retention period: permanent. (Transfer to inactive project file upon completion or termination; transfer inactive file to nearest Federal Records Center when 5 years old or when no longer needed for local reference.)

* (5) PROGRESS REPORT RECORDS: copies of reports showing initiation, progress, or degree of completion of projects, submitted by research facilities, laboratories, or "project" offices to higher authority; feeder reports and related papers.

Retention period: reporting office copies--2 years after completion or cancellation of related projects; except 4 years after completion or cancellation of related projects for MARCORPS activities; feeder reports used for compilation of consolidated reports--until submission of consolidated reports.

(6) PROJECT WORKING AND CONTROL FILES: copies of documents essentially duplicated in project case files: preliminary sketches, drawings, specifications, charts, graphs, photographs; other working papers determined not to be of sufficient value to incorporate in project case files, and related correspondence;

related project control and progress control records.

Retention period: until completion or cancellation of project or until purpose has been served.

(7) LABORATORY DATA OR TECHNICAL NOTEBOOKS and other records containing basic technical, research, and scientific data of continuing value and reflecting progress and how results were achieved.

Retention period: permanent. Transfer to inactive file upon completion of related projects or when Notebooks are filled; transfer inactive file to nearest Federal Records Center when 5 years old or when no longer needed by the individual (engineer, scientist, or technician).

(8) TECHNICAL WORKING DATA accumulated during research and development and testing operations that do not pertain to individual projects or assignments. (Summary and usable data having continuing value are contained in technical reports or retained laboratory notebooks or other records.)

Retention period: 5 years or until superseded or obsolete.

(9) TECHNICAL LABORATORY WORKING PAPERS (other than laboratory or technical notebooks): technical notes and data, measurements, formulas, graphs, drawings, and other similar material accumulated in connection with specific research, development, and testing projects. These essentially are summarized in or used as the basis for preparation of reports but continue to have temporary research value after project's completion.

Retention period: 10 years after preparation of final report or termination of project, whichever is later. (Transfer to nearest Federal Records Center 5 years after completion or termination of project.)

(10) TECHNICAL REPORT FILES: official (master) file copy of each published technical report (or unpublished manuscript of report) prepared in connection with a project or task. These reports summarize the progress and findings and conclusions reached relative to specific projects; they also may clarify and supplement information contained in work laboratory notebooks and other source data.

Retention period: permanent. (Transfer to inactive file when 2 years old; transfer inactive file to nearest Federal Records Center when 5 years old.)

(11) TECHNICAL REFERENCE FILES: copies of technical reports, publications, specifications, drawings, and other technical or scientific data received from other sources and used as a reference source in the performance of research and development functions. (Exclude official file copies of reports and other documents designated in para. 3900(10) above and elsewhere in this (3900) series as permanent records.)

Retention period: until superseded or cancelled or until no longer needed for reference purposes.

(12) DRAWINGS AND SPECIFICATION FILES: official file copy of each drawing and specification showing final design, test procedures, and technical characteristics of items developed. These records are useful adjuncts to the files described in para. 3900(4), (7), and (8) above. The drawings show in visual form the mechanical and other physical characteristics of the items developed, and the specifications explain these characteristics in detail. These are essential for production and servicing of the item developed, and for modification, redesign, or continuing research on the items or related items.

Retention period: permanent. (Place in inactive file when superseded or obsolete; transfer inactive file to nearest Federal Records Center at end of each year or when no longer needed for local reference.)

(13) FEASIBILITY STUDY FILES: files relating to exploration of the feasibility of unsolicited proposals for projects received from individuals.

Retention period: file proposals resulting in authorized projects in related project case file; destroy rejected proposals 1 year after completion of investigation.

(14) RESEARCH CONTRACT OR AGREEMENT FILES: formal contracts or agreements with universities, commercial concerns, individuals, and others for research and development work; related papers. (Exclude technical or scientific data furnished the Department of the Navy pursuant to the terms of contracts or agreements.) Apply para. 4280(1).

(15) LOGS OR OTHER CONTROL RECORDS for project or task assignments, for project approvals or disapprovals, or for research procurement justifications and approvals.

Retention period: 2 years, or until completion of project, as appropriate.

(16) REFERENCE FILES OF TECHNICAL PUBLICATIONS AND DATA: copies of publications, reports, test data, project reports, and other similar documents originated by other government agencies or by private companies or institutions.

Retention period: until superseded or obsolete or no longer needed for reference.

(17) OFFICE OF NAVAL RESEARCH BRANCH OFFICES RECORDS:

(a) General correspondence files, including reports of ONR Branch Offices. (Exclude primary program records of the Office of Naval Research, Washington, D.C. and the Naval Research Laboratory, Washington, D.C. covered in para. 3900(1).)

Retention period: 2 years, except retain on board copies of administrative and organizational histories (see para. 5750) until office is disestablished.

(b) ONR periodic reports: copies of reports submitted to the Office of Naval Research, Washington, D.C. or to other higher authority, and copies of reports received from other branch offices.

Retention period: 1 year.

(c) Status reports submitted periodically by contractors to report on progress of scientific projects.

Retention period: 2 years, provided related technical report has been issued.

(d) Technical reports submitted by contractors upon completion of a particular contract or of a project or contract phase, or when significant results are to be reported. (Exclude master copies of reports accumulated by Office of Naval Research, Washington, D.C. and covered in para. 3900(10) above.)

Retention period: until report or subject areas of reports are no longer considered pertinent or necessary to the performance of the local office's functions.

(e) Disapproved proposals (for research projects or contracts): correspondence and other documents relating to rejected or disapproved proposals for research projects. Proposals may be received from individuals, commercial firms, private institutions, and others.

Retention period: 2 years, provided that at the expiration of this period the proposal is still in a "rejected" status.

(f) Correspondence pertaining to general naval research or scientific matters but not relating to a specific project, contract, or proposal.

Retention period: 2 years.

(g) ONR research contract or project order record cards, including subsidiary contracts control cards: index or control record of each task, project order, or contract.

Retention period: until completion or termination of order, task, or contract, then file in contract case file and handle in accordance with para. 4280.

(h) Contract and Purchase Order (Case) Files: original proposals, project justifications, correspondence, and other documents pertaining to the award and administration of contracts or orders, bids, receipt and inspection papers, subsequent payment records, and other supporting documents. Apply para. 4280.

(i) Correspondence and other papers pertaining to license matters under specific contracts (including patent clauses thereunder), assignments, license approvals, and agreements obtained.

Retention period: permanent. (Retain on board until 2 years after termination of contract or of patent involved in agreement, whichever is earlier, then transfer to nearest Federal Records Center.)

(j) Patent clause (contract) records: card or other index record of designated contracts containing patent clauses, and of inventions reported, agreements obtained, and assignments and licenses approved thereunder.

Retention period: 2 years after termination of contract or 2 years after termination of patent agreement, whichever is earlier.

(k) General correspondence files accumulated by ONR branch offices pertaining to naval contract matters and related functions. (Exclude correspondence relating to specific contracts and filed in contract case files.)

Retention period: 2 years.

(l) Other records relating to patents, copyrights, inventions, and trademarks. Apply para. 5870.

3930 RESEARCH AND DEVELOPMENT PROJECT RECORDS

(1) PROJECT CASE FILES. Apply para. 3900(4).

(2) OTHER PROJECT RECORDS.
See para. 3900.

3960 TEST AND EVALUATION RECORDS

(1) SUMMARY TESTING AND EVALUATION RECORDS AND DATA FOR NAVAL MATERIALS (weapons, components, equipment, etc.). (See also para. 3900(4) and (7).)

Retention period: permanent. (Transfer to inactive file upon completion of project and to nearest Federal Records Center 5 years later.)

(2) DETAIL TESTING DATA and other technical records accumulated in connection

Disposal of Navy and Marine Corps Records

with testing and evaluation operations. (See also paras. 3900(8) and (9).)

Retention period: 5 years, provided summary results are contained in technical reports or in permanent laboratory records, except that working papers may be destroyed upon completion of testing operation or when purpose has been served.

(3) RESEARCH AND DEVELOPMENT TEST, EVALUATION, AND INSPECTION REPORTS: copies accumulated by laboratories or facilities in connection with their research, development, and testing functions. (Exclude reports filed in project case files covered in para. 3900(4).)

Retention period: 5 years, provided action is completed and summarized in permanent records, except if report requires major long-term action by the laboratory or facility retain for 10 years.

(4) LOG OR INDEX CONTROL RECORDS of testing operations and of material received for analysis, maintained by laboratories or other testing facilities.

Retention period: 5 years.

(5) CARD (INDEX) RECORDS OF TEST REPORTS or other test records. Dispose of in the same manner and at the same time as the basic records.

(6) OTHER TEST AND EVALUATION RECORDS. See para. 3900.