



SERIES 1300 – USW (RESEARCH & ENGINEERING)

SERIES TITLE: UNDER SECRETARY OF WAR FOR RESEARCH AND ENGINEERING (USW(R&E))

SERIES DESCRIPTION: Records described in this series relate to the research, development, and technology prototyping activities across DoW. Includes, but is not limited to, the development and oversight of

- DoW technology strategy
- Research and engineering matters
- Capabilities of current war fighting systems
- Development of breakthrough technological capabilities (providing scientific and engineering options to address future strategies and issues); and
- Scientific and technical matters

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1300 Series reflect the missions of the Office of the Under Secretary of War for Research and Engineering (OUSW(R&E)), the Defense Advanced Research Projects Agency (DARPA), Director of Defense Research and Engineering (DDR&E), Defense Innovation Unit (DIU), the Science Technology & Innovation Board (formerly the Defense Science Board (DSB)), Strategic Capabilities Office (SCO) and Test Resource Management Center (TRMC).

RECORDS CATEGORY: 1301

CATEGORY TITLE: Defense Research and Engineering

CATEGORY DESCRIPTION: Research and engineering (R&E) files, pertaining to scientific and technical matters; basic and applied research; developments, tests, and evaluations of weapons systems, including design and engineering for suitability, producibility, reliability, maintainability, and materials conservation; and environmental services.

FILE NUMBERS: 1301-01 – 1301-07 – RESERVED

FILE NUMBER: 1301-08

FILE TITLE: Program Files

FILE DESCRIPTION: Documents that describe in a narrative way the objectives of the program, the requirements, characteristics, time schedules including milestones, financial plans, proposals and contracts, the monitoring of the program and related papers necessary to manage the program. These are generally case files of major importance.

DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1301-08

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-09

FILE TITLE: Project Case Files

FILE DESCRIPTION: These are generally maintained at the laboratory or comparable level, reflecting a complete history of each project from development, design, and testing, to completion. They include



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(when created by Agency personnel or received from contractors):

- Research services with addendums.
- Project cards.
- Technical characteristics.
- Test and trial and photographs considered to be essential to document designs, modifications, and engineering developments.
- Technical and progress reports.
- Notice of completion or cancellation, reference to the location of prototype models, films, or other items too bulky for inclusion in these files; and
- Course of action taken on a project.

These files are generally retained by the Military Services who administer the laboratories such as the Naval Ordnance Laboratory.

DISPOSITION: Permanent. Cut off upon completion of project. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1301-09

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-10

FILE TITLE: Administration of Projects

FILE DESCRIPTION: Lists, card indexes, or other media reflecting in an abstract comprehensive manner individual projects administered by the OSW.

DISPOSITION: Permanent. Cut off upon completion of project. Transfer to NARA 30 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1301-10

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-11.1

FILE TITLE: Research and Development Laboratory Notebooks – Duplicate and/or Fragmentary Data

FILE DESCRIPTION: Laboratory notebooks containing technical and scientific data accumulated from the conduct of research and development that is determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file. These are mostly found in laboratories under the administration of the Head of a DoW Component.

DISPOSITION: Temporary. Cut off upon completion or termination of related project or projects. Destroy 6 months after cutoff.

AUTHORITY: NC1-330-77-015, item 1301-12a

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-11.2

FILE TITLE: Research and Development Laboratory Notebooks – Significant/Original Data

FILE DESCRIPTION: Laboratory notebooks containing technical and scientific data accumulated from the conduct of research and development whose data has not been duplicated elsewhere and that would add significantly to the project file.

DISPOSITION: Permanent. Cut off upon completion or termination of related project or projects. Transfer to NARA 30 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1301-12b

PRIVACY ACT: Not Applicable



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FILE NUMBER: 1301-12

FILE TITLE: Technical Reports

FILE DESCRIPTION: Technical report files consisting of an official file copy of each technical report, or unpublished manuscript or a report, prepared in connection with a project.

DISPOSITION: Permanent. Cut off upon completion or termination of related project or projects. Transfer the final official report to NARA 40 years after cutoff. **NOTE:** Other material associated with the report can be destroyed 3 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1301-13

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-13

FILE TITLE: Drawing and Specification Files

FILE DESCRIPTION: Drawing and specification files consisting of an official file copy of each drawing and specification showing final testing and technical characteristics of items developed. Most of these records are in the custody of the Head of a DoW Component.

DISPOSITION: Permanent. Cut off upon program completion. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1301-14

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-14 – Consolidated under 101-01.1

FILE NUMBER: 1301-15

FILE TITLE: Project Control Files

FILE DESCRIPTION: Project control files consisting of copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel, not to be determined by sufficient value for incorporation in project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.

DISPOSITION: Temporary. Cut off and destroy upon completion or cancellation of projects or earlier, as they serve their purpose.

AUTHORITY: NC1-330-77-015, item 1301-16

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-16.1

FILE TITLE: Summary Progress Reports – Reporting Office Copies

FILE DESCRIPTION: Copies of reports retained by reporting offices of summary progress reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom.

DISPOSITION: Temporary. Cut off after completion or cancellation or related projects. Destroy 1 year after cutoff.

AUTHORITY: NC1-330-77-015, item 1301-17a

PRIVACY ACT: Not Applicable



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FILE NUMBER: 1301-16.2

FILE TITLE: Summary Progress Reports – Feeder Reports

FILE DESCRIPTION: Feeder reports of summary progress reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom used for compilation or consolidated reports.

DISPOSITION: Temporary. Cut off and destroy upon submission of consolidated reports.

AUTHORITY: NC1-330-77-015, item 1301-17b

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-16.3

FILE TITLE: Summary Progress Reports – Consolidated Reports

FILE DESCRIPTION: Consolidated reports, consisting of an official file copy of each consolidated report and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports.

DISPOSITION: Permanent. Cut off upon submission of consolidated report. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1301-17c

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-17.1

FILE TITLE: Unsolicited Proposals – Accepted

FILE DESCRIPTION: Accepted suggestions or inventions of a significant nature, which could later result in litigation. Consists of correspondence records from individuals proposing the use of their inventions or suggestions to improve the War Department, and case projects including, if warranted, feasibility studies and investigations.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 30 years after cutoff.

AUTHORITY: NC1-330-81-006, item 1301-17.1

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-17.2

FILE TITLE: Unsolicited Proposals – Rejected Significant

FILE DESCRIPTION: Rejected suggestions or inventions of a significant nature, which could later result in litigation. Consists of correspondence records from individuals proposing the use of their inventions or suggestions to improve the War Department, and case projects including, if warranted, feasibility studies and investigations.

DISPOSITION: Temporary. Cut off after last action. Destroy 30 years after cutoff.

AUTHORITY: NC1-330-81-006, item 1301-17.2

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-17.3

FILE TITLE: Unsolicited Proposals – Rejected Insignificant

FILE DESCRIPTION: Rejected suggestions or inventions of an insignificant nature. Consists of correspondence records from individuals proposing the use of their inventions or suggestions to improve the War Department, and case projects including, if warranted, feasibility studies and investigations.

DISPOSITION: Temporary. Cut off after last action. Destroy 7 years after cutoff.



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AUTHORITY: NC1-330-81-006, item 1301-17.3

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-18

FILE TITLE: Strategic Arms Limitation Talks (SALT) Support

FILE DESCRIPTION: Scientific and engineering support documents directed towards current strategic policy issues associated with discussion alternatives in SALT and, in addition, scientific and engineering support documents directed towards current strategic policy issues associated with the Comprehensive Test Ban Treaty (CTBT) and Mutual and Balanced Force Reductions (MBFR) with other countries/nations.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1307-04

PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-19 – Consolidated into 212-01 (senior officials) or 102-16 (all others)

FILE NUMBER: 1301-20 – Consolidated into 102-18.1 or 102-18.2

FILE NUMBER: 1301-21 – Consolidated into 103-13

RECORDS CATEGORY: 1302

CATEGORY TITLE: Special Boards and Committees

CATEGORY DESCRIPTION: Records of research and engineering (R&E) Boards, Commissions, and Committees.

FILE NUMBER: 1302-01

FILE TITLE: Science Technology & Innovation Board (formerly the Defense Science Board)

FILE DESCRIPTION: Advises the Secretary of War through the Director, Defense Research and Engineering (DDR&E) on scientific and technical matters of interest to the Department of War. Studies directed towards scientific and technical aspects or specific strategies, tactics, and policies as they may affect the U.S. national defense posture.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1302-01

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 1302-02.1

FILE NUMBER: 1302-02

FILE TITLE: Net Technical Assessments – Military Capabilities

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

DISPOSITION: Permanent. Cut off when superseded by more current analysis. Transfer to NARA 50 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1302-02a

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 1302-02.2



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FILE NUMBER: 1302-03

FILE TITLE: Net Technical Assessments – Military Needs and Programs

FILE DESCRIPTION: Evaluation reports on the subject of military needs and programs based on existing or potential threats revealed by intelligence analysis.

DISPOSITION: Permanent. Cut off after superseded by more current analysis. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1302-02b

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 1302-02.2

FILE NUMBER: 1302-04

FILE TITLE: Net Technical Assessments – Intelligence Reports

FILE DESCRIPTION: Documents that examine intelligence reports and identify voids that require further analysis in the area of foreign military assessment.

DISPOSITION: Permanent. Cut off after situation has been remedied. Transfer to NARA 50 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1302-02c

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 1302-02.3

RECORDS CATEGORY: 1303

CATEGORY TITLE: Test Evaluations Files

CATEGORY DESCRIPTION: These files relate to research and engineering (R&E) Test and Evaluation Plans, Projects, and Programs.

FILE NUMBER: 1303-01

FILE TITLE: Strategic and Support System Test and Evaluation

FILE DESCRIPTION: Reviews of test and evaluation (T&E) plans submitted by the Armed Services and assessment of results. Documents that monitor tests and evaluations conducted by the Services for the Defense Acquisition Board (DAB) programs. Reports to the Deputy Secretary of War at critical milestones of the T&E cycle. Documents on the tests and evaluation of foreign systems for possible DoW use.

DISPOSITION: Permanent. Cut off upon completion (submittal to DAB). Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1303-01

PRIVACY ACT: Not Applicable

FILE NUMBER: 1303-02.1

FILE TITLE: Test Facility National and Major Service Ranges Operations

Documents providing policy direction and planning guidance concerning the operations and assignment of test programs of the national and major service ranges, including weapons ranges, White Sands Missile Range, Proving Grounds, Air Test Centers, etc.

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1303-02a

PRIVACY ACT: Not Applicable



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FILE NUMBER: 1303-02.2

FILE TITLE: Test Facilities Adequacy and Compliance Reviews

FILE DESCRIPTION: Reviews examining the adequacy of the ranges to meet requirements and Directives that ensure the avoidance of duplication. Reports examining the compliance and reviewing the adequacy.

DISPOSITION: Temporary. Cut off after superseded by a more current review or directive. Destroy 5 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1303-02b

PRIVACY ACT: Not Applicable

FILE NUMBER: 1303-02.3

FILE TITLE: Major Range and Test Facility Committee Records

FILE DESCRIPTION: Record documents of the Major Range and Test Facility Committees. Memberships, charters, agendas, reports, and minutes or meetings.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1303-02c

PRIVACY ACT: Not Applicable

FILE NUMBER: 1303-03

FILE TITLE: Tactical Air and Land Warfare Systems Test and Evaluations

FILE DESCRIPTION: Documents which review Tactical Systems test and evaluation plans, monitor their progress, and assess the results. Documents that initiate and coordinate joint Test and Evaluation programs. Reports at critical milestones.

DISPOSITION: Permanent. Cut off upon program completion. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1303-03

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1304

CATEGORY TITLE: Program Control and Administration

CATEGORY DESCRIPTION: Records relating to research and engineering (R&E) program control and administration.

FILE NUMBER: 1304-01

FILE TITLE: Programming and Financial Activities

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

DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1304-01a

PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-02

FILE TITLE: Index of Responsibility Files

FILE DESCRIPTION: Program Index of responsibility and programming system records.

DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1304-01b



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PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-03

FILE TITLE: Computer Support Agreements

FILE DESCRIPTION: Arrangements for computer support for Defense Research and Engineering activities. These are in the nature of agreements to use DoW facilities on a shared basis.

DISPOSITION: Temporary. Cut off upon termination of agreement. Destroy 1 year after cutoff.

AUTHORITY: NC1-330-77-015, item 1304-01c

PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-04

FILE TITLE: Across-the-Board Program Control Files

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

DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1304-01d

PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-05

FILE TITLE: Program Control Management

FILE DESCRIPTION: Management reports and technical information.

DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1304-01e

PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-06

FILE TITLE: Program Control Legislation

FILE DESCRIPTION: New legislation originated within Defense Research and Engineering (DR&E).

DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1304-01f

PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-07

FILE TITLE: General Accountability Office (GAO) Reports on Program Control

FILE DESCRIPTION: Focal point for GAO reports.

DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1304-01g

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1305

CATEGORY TITLE: Acquisition Policy

CATEGORY DESCRIPTION: Records relating to research and engineering (R&E) acquisition policy.



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FILE NUMBER: 1305-01

FILE TITLE: Planning

FILE DESCRIPTION: Documents that advise on the determination and development of required plans and policy for the effective and efficient management of the R&D requirements generating process, area coordinating papers, development concept papers, and systems engineering. Policies and staff supervision for operation of the Defense Systems Management College.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1305-01

PRIVACY ACT: Not Applicable

FILE NUMBER: 1305-02

FILE TITLE: Systems Acquisition

FILE DESCRIPTION: Documents developing positions for review by the Defense Acquisitions Board (DAB). Documents coordinating the work of the various offices in Defense Research and Engineering (DR&E) in the preparation of justification for a system acquisition. Briefs and defenses of systems acquisitions.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1305-02

PRIVACY ACT: Not Applicable

FILE NUMBER: 1305-03

FILE TITLE: Engineering Policy

FILE DESCRIPTION: Documents establishing engineering policy and standards, particularly in regard to performance criteria, reliability, maintainability, and survivability.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1305-03a

PRIVACY ACT: Not Applicable

FILE NUMBER: 1305-04

FILE TITLE: Engineering – Major Program Review

FILE DESCRIPTION: Documents that review major programs for compliance with sound engineering practices.

DISPOSITION: Temporary. Cut off after program completion. Destroy 5 years after cutoff.

AUTHORITY: NC1-330-77-015, item 13005-03b

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1306

CATEGORY TITLE: Research and Advanced Technology

CATEGORY DESCRIPTION: Records pertaining to research and engineering (R&E) involving advanced technology activities.

FILE NUMBER: 1306-01

FILE TITLE: Electronics and Physical Sciences

FILE DESCRIPTION: Reviews, analyses, and evaluations of DoW technology programs in electronics, associated solid state physics, electronic development, and computer and communications applications. Documents that monitor the related plans, policies, and procedures of the Military Departments to ensure



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effective implementation. Technical reviews of projects in the physical sciences. Assessments and policies concerned with DoW-sponsored research carried out by industry or educational industry or educational institutions. Reviews and evaluations of the DoW Research Program.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1306-01

PRIVACY ACT: Not Applicable

FILE NUMBER: 1306-02

FILE TITLE: Environmental and Life Sciences

FILE DESCRIPTION: Reviews, analyses, and evaluations of DoW programs in the area of medical and life sciences, environmental sciences, social and behavioral sciences, chemical warfare, and biological defense. Documents that monitor the plans, policies, and procedures of the Military Departments to ensure implementation. Reviews and evaluations of the DoW in-house laboratories.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1306-02

PRIVACY ACT: Not Applicable

FILE NUMBER: 1306-03

FILE TITLE: Engineering Technology

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

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1306-03

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1307

CATEGORY TITLE: Strategic and Space Systems

CATEGORY DESCRIPTION: Records relating to research and engineering (R&E) of strategic and space systems.

FILE NUMBER: 1307-01

FILE TITLE: Defensive Systems Files

FILE DESCRIPTION: Reviews and evaluations of military programs and proposals for R&D that would provide for strategic defense against attack; aircraft and antimissile systems, air-defense ground environment systems, communications and display required for effective control, and related developments. Space-based systems, including surveillance, tracking, mission assessment; active defense measures and related developments. Recommendations for appropriate action and funding of all such programs. Studies and plans to meet the future needs of defense.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1307-01

PRIVACY ACT: Not Applicable



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FILE NUMBER: 1307-02

FILE TITLE: Offensive and Space Systems

FILE DESCRIPTION: Reviews and evaluations of military programs and proposals for R&D for strategic attack to include military space systems used for their control. Plans and recommendations for appropriate action and funding for such programs.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1307-02

PRIVACY ACT: Not Applicable

FILE NUMBER: 1307-03

FILE TITLE: Advanced Systems

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

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1307-03

PRIVACY ACT: Not Applicable

FILE NUMBER: 1307-04

FILE TITLE: Cruise Missile Systems

FILE DESCRIPTION: Files on cruise missile systems, including.

- Reviews and evaluations of military programs and proposals for cruise missiles and associated platforms including air, sea, and ground-launched conventional and nuclear armed cruise missiles and aircraft, ships, submarines, and ground systems to support their launch.
- Studies and analyses of potential future problems in maintaining effective forces.
- Planning and budgeting documents for assigned programs.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 30 years after cutoff.

AUTHORITY: NC1-330-80-005, item 2

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1308

CATEGORY TITLE: Tactical Warfare Programs

CATEGORY DESCRIPTION: Research and engineering (R&E) records pertaining to tactical warfare programs.

FILE NUMBER: 1308-01

FILE TITLE: Air Warfare Files

FILE DESCRIPTION: Plans for the allocation of development resources between air warfare, deep-strike, counter-air, defense suppression, and tactical reconnaissance. Documents that manage the coordination, and that propose a development budget. Reviews of development and prototype production activities conducted under the authority of the Area Coordination Papers.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1308-01

PRIVACY ACT: Not Applicable



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FILE NUMBER: 1308-02

FILE TITLE: Land Warfare Files

FILE DESCRIPTION: Plans for the allocations of development resources between the various areas comprising land warfare: close combat, fire support, field army air defense, and battlefield surveillance. Documents managing the preparation and coordination of major development activities in land warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific land warfare developments.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1308-02

PRIVACY ACT: Not Applicable

FILE NUMBER: 1308-03

FILE TITLE: Naval Warfare (Formerly known as Ocean Control)

FILE DESCRIPTION: Plans for the allocation of development resources between the various areas comprising naval warfare: Fleet offensive operations, antisubmarine warfare, and ocean surveillance. Documents managing the preparation and coordination of major development activities in naval warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific naval warfare developments.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1308-03

PRIVACY ACT: Not Applicable

FILE NUMBER: 1308-04

FILE TITLE: Armament and/or Munitions Requirements and Development (ARMAD) Files

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

DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 30 years after cutoff.

AUTHORITY: NC1-330-80-005, item 3

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1309

CATEGORY TITLE: International Programs

CATEGORY DESCRIPTION: Research and engineering (R&E) records pertaining to international programs.

FILE NUMBER: 1309-01

FILE TITLE: Export Licenses

FILE DESCRIPTION: Case records documenting the DoW position on export licenses proposed by the Department of Commerce for foreign trade, or by the Department of State, if a foreign government is



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involved. They involve the sale or trade of U.S. technology and/or products of a technical nature that may be defense related. The record copies of these licenses are retained by Commerce or State, as appropriate.

DISPOSITION: Temporary. Cut off upon completion of case. Destroy 10 years after cutoff.

AUTHORITY: N1-330-80-002, item 1b

PRIVACY ACT: Not Applicable

FILE NUMBER: 1309-02

FILE TITLE: Foreign Scientist Case Files – Historical Value

FILE DESCRIPTION: Case files on foreign scientists of historical value accumulated in connection with DoW programs under which foreign scientific personnel were encouraged to emigrate to the United States. Files include completed applications, correspondence with potential employers, records accumulated in connection with security clearance investigations, travel orders, household goods shipment records, and other materials.

DISPOSITION: Permanent. Cut off upon completion of case file. Transfer to NARA 30 years after cutoff.

AUTHORITY: NC1-330-79-007, item 1a

PRIVACY ACT: Not Applicable

FILE NUMBER: 1309-03

FILE TITLE: Foreign Scientist Case Files – Non-Historical Value

All other record case files on foreign scientists of historical value accumulated in connection with DoW programs under which foreign scientific personnel were encouraged to emigrate to the United States. Files include completed applications, correspondence with potential employers, records accumulated in connection with security clearance investigations, travel orders, household goods shipment records, and other materials.

DISPOSITION: Temporary. Cut off upon completion of case file. Destroy 15 years after cutoff.

AUTHORITY: NC1-330-79-007, item 1b

PRIVACY ACT: Not Applicable

FILE NUMBER: 1309-04

FILE TITLE: International Programs

FILE DESCRIPTION: Documents providing guidance and technical direction to international R&E efforts through exploration and establishment of cooperative research, development, and production programs with U.S. Allies for weapons systems to increase commonality, improve effectiveness, reduce duplications and redundancy, and realize cost savings.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-015, item 1309

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 1309

RECORDS CATEGORY: 1310

CATEGORY TITLE: Science, Mathematics and Research for Transformation (SMART) Scholarship for Service Program Records

CATEGORY DESCRIPTION: Records of the SMART Program, which was established by DoW under the National Defense Education Program (NDEP) as an opportunity for students pursuing an undergraduate



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or graduate degree in Science, Technology, Engineering, and Mathematics disciplines to receive a full scholarship and be gainfully employed upon completion of the degree. The main goal of the program is to increase the number of civilian scientists and engineers working at DoW laboratories. This program is supported by the Office of the Undersecretary of War for Research & Engineering (OUSW(R&E)), whose mission is to ensure that the warfighter has superior and affordable technology to support their missions and provide war winning capabilities.

FILE NUMBER: 1310-01

FILE TITLE: SMART Information Management System (SIMS) Master File – Participant Information

FILE DESCRIPTION: Documentation pertaining to the participants of the SMART program. Collected information includes:

- Participant personal data (i.e., name, address, date of birth (DOB), gender, race, etc.)
- Grading and Testing history (i.e., Grade Point Average (GPA), Graduate Record Examination (GRE) scores, transcripts, education work plans, etc.)
- Participant university/college information (i.e., School name, address, phone numbers, etc.)
- Participant Program-specific data (i.e., degree, discipline, number of scholarship funded years, projected graduation date, selecting branch/organization, and inactive reason, etc.)
- Participant Position data (i.e., copy of SF 50)
- Participant financial data (i.e., projected/actual cash award, tuition, book allowances, travel costs, and internship costs)
- DoW facility data (i.e., name, address, phone number, POC information, and similar information)

DISPOSITION: Temporary. Cut off after completion of service or upon repayment of funds. Destroy 30 years after cutoff.

AUTHORITY: DAA-0330-2021-0009-0001

PRIVACY ACT: DUSDA 14/ 29 Oct 2020, 85 FR 68567

FILE NUMBER: 1310-02

FILE TITLE: SMART Information Management System (SIMS) Master File – Individuals NOT Chosen for Participation

FILE DESCRIPTION: Documentation pertaining to the individuals who applied but were not chosen as participants of the SMART program.

DISPOSITION: Temporary. Cut off annually in the fiscal year (FY) applicant withdraws or is not accepted. Destroy 3 years after cutoff.

AUTHORITY: DAA-0330-2021-0009-0002

PRIVACY ACT: DUSDA 14/ 29 Oct 2020, 85 FR 68567

FILE NUMBER: 1310-03

FILE TITLE: SMART Information Management Systems (SIMS) Master File- Participating DoW Laboratory Facility Information

FILE DESCRIPTION: Documentation pertaining to the DoW research, engineering, laboratory facilities involved in the SMART program.

DISPOSITION: Temporary. Cut off and destroy upon termination of affiliation with the program and upon disposition of associated participant information.

AUTHORITY: DAA-0330-2021-0009-0003

PRIVACY ACT: Not Applicable