



SERIES 1400 – CAPE

SERIES TITLE: DIRECTOR, COST ASSESSMENT AND PROGRAM EVALUATION (CAPE)

SERIES DESCRIPTION: The records described in this series relate to the analysis on resource allocation and cost estimation of DoD plans, programs and budgets. Includes, but is not limited to, the following:

- Analyses and evaluations of plans, programs, and budgets in relation to U.S. defense objectives, projected threats, allied contributions, estimated costs, and resource constraints;
- Development and evaluations of alternative program proposals to rectify deficiencies;
- Initiation of actions to ensure the Department's programs adhere to the Secretary's policies and promote achievement of national security objectives;
- Review, analyse, and evaluation of programs for executing approved policies; and
- Examination of costs to ensure the costs of DoD programs are presented accurately and completely.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1400 Series reflect the mission of the office of the Director, Cost Assessment and Program Evaluation (CAPE).

RECORDS CATEGORY: 1401 – RESERVED

RECORDS CATEGORY: 1402

CATEGORY TITLE: Strategic and Space Programs Files

CATEGORY DESCRIPTION: Files pertaining to the development of strategies underlying the procurement, limitation, operations, and possible use of strategic and theatre nuclear forces. Includes reviews of strategic retaliatory, and defense forces, nuclear weapons requirements and strategic arms control measures, including the preparation of summaries of alternative programs in terms of effectiveness, feasibility and cost. Analyses and evaluations of the cost and operational effectiveness of alternative programs for strategic strike (i.e., strategic nuclear and conventional offensive forces); strategic defense; theater ballistic missile defense, space systems (including satellites, launch vehicles, and ground support); strategic C3I systems; defense-wide C3 systems; chemical and biological defense; chemical stockpile destruction, science and technology; arms control compliance and verification; and nuclear nonproliferation. Includes reviews and develops alternatives to Service, Defense Agency, and OSD proposals in these areas.

FILE NUMBER: 1402-01

FILE TITLE: Strategic Planning and Arms Limitation

FILE DESCRIPTION: Support for the Strategic Arms Limitation Talks (SALT). Broad policy studies on arms control issues, and detailed analyses of present and future US/USSR strategic capabilities. Studies of impact of alternative limits on strategic forces and balance. Studies on SALT related issues.

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

AUTHORITY: NC1-330-77-003, item 1402-02



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PRIVACY ACT: Not Applicable

FILE NUMBER: 1402-02

FILE TITLE: Strategic Forces

FILE DESCRIPTION: Analysis of U.S. strategic force postures and requirements, including Continental Air Defense, ballistic missile defense, civil defense, space defense, strategic command and control, warning and surveillance and US bomber survivability. Studies and evaluations of alternative programs for decision on strategic defensive and command control and surveillance forces including characteristics, effectiveness, cost and alternatives to meet strategic objectives.

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

AUTHORITY: NC1-330-77-003, item 1402-03

PRIVACY ACT: Not Applicable

FILE NUMBER: 1402-03

FILE TITLE: Special Weapons and Support

FILE DESCRIPTION: Analysis of nuclear, biological and chemical weapons systems, quantitative requirements and technical development including AEC costs. Input to contingency plans. Alternate policies.

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

AUTHORITY: NC1-330-77-003, item 1402-01

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1403

CATEGORY TITLE: Resource Analysis Files

CATEGORY DESCRIPTION: Records documenting the execution of CAPE's responsibilities for the Defense Resources Board (DRB) Program Review and other similar reviews. They contain cost analyses in support of the planning, programming and budget system (PPBS) and the Defense Acquisition Board (DAB), as well as studies and analyses of defense resource and economic issues.

FILE NUMBER: 1403-01

FILE TITLE: Program Cost Analysis

FILE DESCRIPTION: Analyses and estimates in the form of reports of the costs of planned and prepared defense programs, force structures and weapons systems. Cost estimates associated with the annual preparation of the Secretary of Defense's Fiscal Guidance. Cost analysis of acquisition programs to be considered by the Defense Systems Acquisition Review Council. Plans and development of cost estimating techniques.

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

AUTHORITY: NC1-330-77-003, item 1403-01

PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-02

FILE TITLE: Manpower Resources

FILE DESCRIPTION: Analysis of policy and planning guidance to identify and evaluate DoD peacetime and wartime military and civilian manpower requirements. Reviews and analyses of manpower requirements



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in terms of functions, skills, costs, and training capacity. Reviews of budget implications and alternative manpower programs.

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

AUTHORITY: NC1-330-77-003, item 1403-02

PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-03

FILE TITLE: Logistics – Resource Allocation

FILE DESCRIPTION: Logistics planning and analysis documents including analyses and guidance to help allocate resources efficiently.

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

AUTHORITY: NC1-330-77-003, item 1403-03a

PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-04

FILE TITLE: Logistics – Defense Material Support Planning

FILE DESCRIPTION: Logistics planning and analysis documents including:

- Development of annual Secretary of Defense Material Support Planning Guidance necessary for immediate and long range logistical planning; and
- Resources of ammunition procurement programs and budgets.

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

AUTHORITY: NC1-330-77-003, item 1403-03b

PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-05

FILE TITLE: Logistics – Alternate Logistics Programs

FILE DESCRIPTION: Development of evaluation methodologies which estimate amount of resources necessary and evaluation of alternate logistic programs.

DISPOSITION: Temporary. Cut off when superseded by improved techniques. Destroy 3 years after cutoff.

AUTHORITY: NC1-330-77-003, item 1403-03c

PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-06

FILE TITLE: Economic Studies

FILE DESCRIPTION: Evaluation reports and studies of the economic implications of DoD programs and special problems. For example, the large scale procurement or cancellation of aircraft or ships on industry and effect on defense potential. Reports and studies prepared to evaluate the impact of national economic conditions on defense planning.

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

AUTHORITY: NC1-330-77-003, item 1403-04

PRIVACY ACT: Not Applicable



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RECORDS CATEGORY: 1404

CATEGORY TITLE: Regional Programs

CATEGORY DESCRIPTION: Reviews and analyses of the character and size of U.S. and allied military postures and interests worldwide, threats to those interests, and the capabilities (including deployment capability and balance of forces) of the U.S. and potential allies to meet those threats. Evaluations of alternative U.S. and allied military postures; projections of the cost and manpower requirements of the approved and alternative defense programs beyond the program years; evaluations of the cost and effectiveness of major automated information systems (AIS) that support Department operations. Records also include extensive databases and analytical methods/models used in analyses and records of CAPA&E's AIS and contract research programs.

FILE NUMBER: 1404-01

FILE TITLE: Asia Files

FILE DESCRIPTION: Reviews and analyses of US and Allied military posture, strategy, and force requirements in Asia. Analysis of military/economic/political considerations in Asia/Pacific to provide understanding of the factors and a basis for planning strategy, and force requirements. Evaluations of issues and summaries of alternative strategy, postures, and force requirements to achieve US military objectives. These are maintained on a country, regional or theater-level basis. Also documents CAPE's function as the focal point for special operations, anti-drug, mobilization and crisis management planning and programming in Asia.

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA within 40 years of creation.

AUTHORITY: NC1-330-77-003, item 1404-01

PRIVACY ACT: Not Applicable

FILE NUMBER: 1404-02 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 1404-03 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 1404-04

FILE TITLE: NATO Files

FILE DESCRIPTION: Reviews and analyses of US and Allied military posture, strategy, and force requirements in NATO and Europe. Analysis of military/economic/political considerations in NATO and Europe to provide understanding of the factors and a basis for planning strategy, and force requirements. These are maintained on a country, regional or theater-level basis. Also documents CAPE's function as the focal point for special operations, anti-drug, mobilization and crisis management planning and programming in NATO and Europe.

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA within 40 years of creation.

AUTHORITY: NC1-330-77-003, item 1404-02

PRIVACY ACT: Not Applicable

FILE NUMBER: 1404-05

FILE TITLE: Special Studies



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FILE DESCRIPTION: Reviews and analyses of U.S. forces and Allied effectiveness. Special studies, evaluations and analysis similar in nature to 1404-01 (Asia Files) and 1404-04 (NATO and Europe Files) as related to regions other than Asia and NATO and the effectiveness and balance of all general purpose forces in various regions.

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA within 40 years of creation.

AUTHORITY: NC1-330-77-003, item 1404-03

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1405

CATEGORY TITLE: General Purpose Programs Files

CATEGORY DESCRIPTION: These files contain documents pertaining to CAPE's role in directing the analysis and evaluation of the force levels and mixes of U.S. general purpose air, land, and naval forces, including their affordability, effectiveness, capabilities, and readiness. Also contain summaries of alternative forces and acquisition programs for review by the Secretary and Deputy Secretary of Defense in making critical decisions on the allocation of Defense resources.

FILE NUMBER: 1405-01

FILE TITLE: Land Forces

FILE DESCRIPTION: Reviews and analyses of DoD Army and Marine Corps Active and Reserve land forces, combat and support, weapons systems requirements, and alternative mixes and levels of land force structures.

DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA within 40 years of creation.

AUTHORITY: NC1-330-77-003, item 1405-01

PRIVACY ACT: Not Applicable

FILE NUMBER: 1405-02

FILE TITLE: Naval Forces

FILE DESCRIPTION: Reviews and analyses of naval forces including Anti-Submarine Warfare, anti-air warfare, amphibious, fire support, cruise missiles, naval ASW and AAW weapons, mine countermeasures, combat logistics/replenishment, surface combatants, attack submarines, undersea surveillance, fleet escort and shipbuilding programs.

DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA within 40 years of creation.

AUTHORITY: NC1-330-77-003, item 1405-03

PRIVACY ACT: Not Applicable

FILE NUMBER: 1405-03

FILE TITLE: Tactical Air

FILE DESCRIPTION: Reviews and analyses of tactical air forces (Active and Reserve), including land- and sea-based aircraft for air-ground support operations, air-to-air combat, interdiction, reconnaissance, and other support missions. Reviews and analyses of theater and fleet air defense. forces.

DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA within 40 years of creation.

AUTHORITY: NC1-330-77-003, item 1405-04

PRIVACY ACT: Not Applicable



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FILE NUMBER: 1405-04 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 1405-05

FILE TITLE: Mobility Forces

FILE DESCRIPTION: Reviews and analyses of mobility programs including airlift and sealift forces, equipment repositioning programs, emergency use of civil transportation resources, indirect support aircraft forces, and mobility support forces.

DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA within 40 years of creation.

AUTHORITY: NC1-330-77-003, item 1405-02

PRIVACY ACT: Not Applicable