

Request for Records Disposition Authority

Records Schedule Number **DAA-0330-2014-0013**

Schedule Status **Approved**

Agency or Establishment **Office of the Secretary of Defense**

Record Group / Scheduling Group **Records of the Office of the Secretary of Defense**

Records Schedule applies to **Department-wide**

Schedule Subject **Continuous Evaluation Information System**

Internal agency concurrences will be provided **No**

Background Information In accordance with the E.O 13467 the Department of Defense has established the Continuous Evaluation (CE) program. The purpose of this information system is to : (1) identify DoD-affiliated personnel who have engaged in conduct of security concern; (2) identify and initiate needed follow-on inquiries and/or investigative activity and enable security officials and adjudicators to determine and take appropriate actions; and (3) perform research, development, and analyses. These analyses are conducted to: (a) evaluate and improve DoD and federal personnel security, insider threat, and other background vetting and continuous evaluation procedures, programs, and policies; (b) assist in providing training, instruction, advice on personnel security, insider threats, and assess continuing reliability of subjects for DoD Components and other elements of the federal government; (c) encourage cooperative research within and among DoD Components, the Intelligence Community, and the Executive branch on initiatives having DoD or Federal Government-wide implications in order to maximize integration and avoid duplication; (d) address items of special interest to personnel security officials within DoD Components, the Intelligence Community, and the Executive branch; (f) conduct personnel security pilot test projects.

System Interfaces / Data Sources: Government data sources include, but are not limited to, Case Adjudication Tracking System (CATS), Joint Personnel Adjudication System (JPAS), FBI National Crime Information Center files, Defense Enrollment Eligibility Reporting System (DEERS); and non-governmental and commercial data sources such as National Law Enforcement Telecommunications System, TRSS, Equifax, and iMapData.

System Inputs: All information contained in the system interfaces and data sources above (e.g., name; DoB; PoB; SSN; physical

attributes; gender; race; ethnicity; contact information; passport information; citizenship; current and previous addresses; reference information; education information; employment information (up to 10 years, includes performance information such as warnings, misconduct, and termination information); military history information; current and former spouse and cohabitant information; family information (immediate, in-laws, living or deceased); foreign contact information; foreign activities (including those of spouse, cohabitant or dependents), to include financial interests, business, professional activities, foreign government activities, travel; psychological and emotional health; police record information such as arrests, convictions, probation, criminal charges, imprisonment, and domestic violence; illegal use of drugs or controlled substances; alcohol consumption; financial information; inappropriate use of information technology systems; associations with terrorists; investigation packages; type of DoD affiliation; employing activity; current employment status; position sensitivity; personnel security investigative basis; status of current adjudicative action; security clearance eligibility and access status; whether eligibility determination was based on a condition, deviation from prescribed investigative standards or waiver of adjudication guidelines; reports of security-related incidents, to include issue files; suspension of eligibility and/or access; denial or revocation of eligibility and/or access; eligibility recommendations or decisions made by an appellate authority; non-disclosure execution dates; indoctrination date(s); level(s) of access granted; debriefing date(s); and reasons for debriefing; Wants and Warrants alerts and information; extradition limitations; incarceration information; court records; etc..

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0330-2014-0013

Sequence Number

1

Continuous Evaluation Program Disposition Authority Number: DAA-0330-2014-0013-0001

Records Schedule Items

Sequence Number															
1	<p>Continuous Evaluation Program</p> <p>Disposition Authority Number DAA-0330-2014-0013-0001</p> <p>Continuous Evaluation records consist of information collected on current DoD-affiliated personnel in support of personnel security programs. The master file includes, but is not limited to, name; DoB; PoB; SSN; physical attributes; gender; race; ethnicity; contact information; passport information; citizenship; current and previous addresses; reference information; education information; employment information (up to 10 years, includes performance information such as warnings, misconduct, and termination information); military history information; publicly available electronic information.</p> <table><tr><td>Final Disposition</td><td>Temporary</td></tr><tr><td>Item Status</td><td>Active</td></tr><tr><td>Is this item media neutral?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item exist as structured electronic data?</td><td>Yes</td></tr></table> <p>Disposition Instruction</p> <table><tr><td>Retention Period</td><td>Destroy 10 year(s) after last personnel security adjudication is completed</td></tr></table> <p>Additional Information</p> <table><tr><td>GAO Approval</td><td>Not Required</td></tr></table>	Final Disposition	Temporary	Item Status	Active	Is this item media neutral?	Yes	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes	Do any of the records covered by this item exist as structured electronic data?	Yes	Retention Period	Destroy 10 year(s) after last personnel security adjudication is completed	GAO Approval	Not Required
Final Disposition	Temporary														
Item Status	Active														
Is this item media neutral?	Yes														
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes														
Do any of the records covered by this item exist as structured electronic data?	Yes														
Retention Period	Destroy 10 year(s) after last personnel security adjudication is completed														
GAO Approval	Not Required														

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
07/02/2014	Certify	Luz Ortiz	OSD Records Manager	Department of Defense - Office of the Secretary of Defense
09/03/2014	Submit for Concurrence	Sebastian Welch	Appraiser	National Archives and Records Administration - Records Management Services
09/04/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
09/04/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/04/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist