

GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Government-wide or agencywide responsibility for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agencywide security and protective services planning and programming, reflecting basic overall policies and determinations are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive orders and statutory or regulatory requirements.

1. Classified Documents Administrative Correspondence Files. [See note after this item.]

Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule. **Superseded by GRS 4.2, item 001 (DAA-GRS-2016-0013-0003)**

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

2. Document Receipt Files.

Records documenting the receipt and issuance of classified documents. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

3. Destruction Certificates Files.

Certificates relating to the destruction of classified documents. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

4. Classified Document Inventory Files.

Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

5. Top Secret Accounting and Control Files.

- a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**
- b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

6. Access Request Files.

Requests and authorizations for individuals to have access to classified files. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

7. Classified Document Container Security Files. [See note after item 7b.]

- a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. **Superseded by GRS 4.2, item 031 (DAA-GRS-2013-0007-0020)**
- b. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet. **Superseded by GRS 4.2, item 032 (DAA-GRS-2016-0002-0003)**

FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

8. Security and Protective Services Administrative Correspondence Files. [See note after this item.]

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule. **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

9. Survey and Inspection Files. (Government-owned facilities)

Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry. **Superseded by GRS 5.6, item 080 (DAA-GRS-2017-0006-0010) and GRS 5.6, item 081 (DAA-GRS-2017-0006-0011)**

10. Survey and Inspection Files. (Privately owned facilities)

Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents. **Superseded by GRS 5.6, item 080 (DAA-GRS-2017-0006-0010) and GRS 5.6, item 081 (DAA-GRS-2017-0006-0011)**

11. Investigative Files.

Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**

12. Property Pass Files.

Property pass files, authorizing removal of property or materials. **Superseded by GRS 5.6, item 040 (DAA-GRS-2017-0006-0005)**

13. Guard Assignment Files.

Files relating to guard assignments and strength.

- a. Ledger records. **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**
- b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements. **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**

14. Police Functions Files.

Files relating to exercise of police functions.

- a. Ledger records of arrest, cars ticketed, and outside police contacts. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**
- b. Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-**

0006-0013)

- c. Reports on contact of outside police with building occupants. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**

15. Personal Property Accountability Files.

Files relating to accountability for personal property lost or stolen.

- a. Ledger files. **Superseded by GRS 5.6, item 060 (DAA-GRS-2017-0006-0007) and GRS 5.6, item 061 (DAA-GRS-2017-0006-0008)**
- b. Reports, loss statements, receipts, and other documents relating to lost and found articles. **Superseded by GRS 5.6, item 060 (DAA-GRS-2017-0006-0007) and GRS 5.6, item 061 (DAA-GRS-2017-0006-0008)**

16. Key Accountability Files.

Files relating to accountability for keys issued.

- a. For areas under maximum security. **Superseded by GRS 5.6, item 020 (DAA-GRS-2017-0006-0002)**
- b. For other areas. **Superseded by GRS 5.6, item 021 (DAA-GRS-2017-0006-0003)**

17. Visitor Control Files.

Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

- a. For areas under maximum security. **Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014)**
- b. For other areas. **Superseded by GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)**

18. Facilities Checks Files.

Files relating to periodic guard force facility checks.

- a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule). **Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)**
- b. Reports of routine after-hours security checks that either do not reflect security violations or for which the information contained therein is documented in the files defined in item 24 of this schedule. **Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)**

19. Guard Service Control Files.

- a. Control center key or code records, emergency call cards, and building record and employee identification cards. **Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)**
- b. Round reports, service reports on interruptions and tests, and punch clock dial sheets. **Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)**
- c. Automatic machine patrol charts and registers of patrol and alarm services. **Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)**
- d. Arms distribution sheets, charge records, and receipts. **Superseded by GRS 5.6, item 030 (DAA-GRS-2017-0006-0004)**

20. Logs and Registers.

Guard logs and registers not covered elsewhere in this schedule.

- a. Central guard office master logs. **Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)**
- b. Individual guard post logs of occurrences entered in master logs. **Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)**

PERSONNEL SECURITY CLEARANCE RECORDS

Records accumulating from investigations of personnel conducted under Executive orders and statutory or regulatory requirements.

21. Security Clearance Administrative Subject Files.

Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule. **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**

22. Personnel Security Clearance Files.

Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

- a. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance,

- exclusive of copies of investigative reports furnished by the investigating agency. **Superseded by GRS 5.6, item 181 (DAA-GRS-2017-0006-0025)**
- b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations. **Superseded by GRS 5.6, item 170 (DAA-GRS-2017-0006-0022)**
 - c. Index to the Personnel Security Case Files. **Superseded by GRS 5.6, item 190 (DAA-GRS-2017-0006-0026)**
23. Personnel Security Clearance Status Files.
- Lists or rosters showing the current security clearance status of individuals. **Superseded by GRS 5.6, item 190 (DAA-GRS-2017-0006-0026)**
24. Security Violations Files.
- Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information.
- a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Department of Defense for prosecutive determination, exclusive of files held by the Department of Justice or Department of Defense offices responsible for making such determinations. **Superseded by GRS 5.6, item 200 (DAA-GRS-2017-0006-0027)**
 - b. All other files, exclusive of documents placed in official personnel folders. **Superseded by GRS 5.6, item 200 (DAA-GRS-2017-0006-0027)**
25. Classified Information Nondisclosure Agreements.
- a. If maintained separately from the individual's official personnel folder. **Superseded by GRS 4.2, item 121 (DAA-GRS-2015-0002-0003)**
 - b. If maintained in the individual's official personnel folder. **Rescinded per GRS Transmittal 24**

EMERGENCY PLANNING RECORDS

Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

26. Emergency Planning Administrative Correspondence Files. [See note after this item.]

Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule. **Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for emergency programs.]

27. Emergency Planning Case Files. [See notes after this item.]

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files. **Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**

[NOTES: (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives of the United States by submission of an SF 115 to NARA. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives of the United States by submission of an SF 115. (Implied in NC1-GRS-81-1 item 1a)]

28. Emergency Operations Tests Files.

Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports. **Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**

29. National Defense Executive Reserve (NDER) Case Files.

Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.

- a. Case files on reservists. **Rescinded per GRS Transmittal 27**
- b. Case files on individuals whose applications were rejected or withdrawn. **Rescinded per GRS Transmittal 27**