

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0446-2017-0001**

Schedule Status                      **Approved**

Agency or Establishment        **Defense Security Service**

Record Group / Scheduling Group **Records of the Defense Security Service**

Records Schedule applies to    **Agency-wide**

Schedule Subject                    **Industrial Security Case Files**

Internal agency concurrences will  
be provided                          **No**

Background Information            **This schedule updates prior schedule N1-446-09-005 "Industrial Security Case Files."**

DSS maintains the official records of contractor facilities involved in the National Industrial Security Program [NISP]. The availability, accuracy, and condition of these files affect the agency's ability to respond to information requests from Congress and other governmental activities. The field office is the repository for these files.

Electronic Files will be included and maintained with the same retention as paper files including in the National Industrial Security System (NISS) which is replacing the Industrial Security Facilities Database (ISFD).

NISS tracks facility clearance information including facility clearance requests, facility verification requests and notifications that are sent when facility information changes. The system also provides standard and customized reports. The major components of the system are described below:

Facilities Management allows the user to search facilities, view their facilities, and generate standard and ad hoc reports. Provides the capability for Industrial Security personnel to input actions performed directly related to oversight of cleared contractors, and the time associated with those actions.

Facility Clearance Request allows the user to search and submit clearance requests. A clearance request is submitted when a user agency, facility, or other entity requests a clearance for the facility and initiates the clearance process. Email notifications are sent to the requestors when the clearance is issued.

Facility Verification Requests allows the user to search existing verification requests, submit verification requests, and view their verifications. A Facility Verification Request is submitted when a requestor (User agency or a facility) wishes to be notified when certain information about a facility changes. Notifications allow the user to view all their notifications for facilities they submitted verification requests for. User Management allows the user to update user information. The system also provides separate online user's manuals for the external and internal users.

Select data from the following documents are entered into NISS from Industrial Security Case Files (physical and electronic files):

- Sponsorship Letter
- DD Form 254, Contract Security Classification Specification
- DD Form 441, Department of Defense Security Agreement
- DD Form 441-1, Appendage to the Department of Defense Security Agreement
- List of Key Management Personnel (KMP)
- SF 328, Certificate Pertaining to Foreign Interest

NISS contains the following types of information:

#### Facility Overview

- Overview
- FCL Information
- Addresses
- KMP
- Contacts
- Prior Names and Alias

#### Business Information

- General Business Information
- Legal Structure
- Government Customers and Programs
- Classified Subcontractors
- SAM
- CSI

#### Foreign Ownership Control and Influence (FOCI) & International

- Adjudication
- Foreign Visits
- Foreign Travel

- Foreign Government Information
- Exports
- Foreign Sales and Subsidiaries
- Freight Forwarding Countries

**Safeguarding & Information System (IS)**

- Safeguarding
- General Safeguarding
- COMSEC
- Safeguarding Off-Sites
- Safeguarding Notes
- IS General Information Form

**Actions & Documentation**

- Sponsorship Submissions
- Telephonic Surveys
- Briefings
- Facility Profile Documents

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>9</b>	<b>0</b>	<b>9</b>	<b>0</b>

GAO Approval

## Outline of Records Schedule Items for DAA-0446-2017-0001

Sequence Number	
1	Hard copy printouts Disposition Authority Number: DAA-0446-2017-0001-0001
2	Terminated or Inactive Facility Files Disposition Authority Number: DAA-0446-2017-0001-0002
3	Active files Disposition Authority Number: DAA-0446-2017-0001-0003
4	Six-Part Facility File - Part 1 Disposition Authority Number: DAA-0446-2017-0001-0004
5	Six-Part Facility File - Part 2 Disposition Authority Number: DAA-0446-2017-0001-0005
6	Six-Part Facility File - Part 3 Disposition Authority Number: DAA-0446-2017-0001-0006
7	Six-Part Facility File - Part 4 Disposition Authority Number: DAA-0446-2017-0001-0007
8	Six-Part Facility File - Part 5 Disposition Authority Number: DAA-0446-2017-0001-0008
9	Six-Part Facility File - Part 6 Disposition Authority Number: DAA-0446-2017-0001-0009

## Records Schedule Items

Sequence Number	
1	<p><b>Hard copy printouts</b></p> <p>Disposition Authority Number      <b>DAA-0446-2017-0001-0001</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p>GRS or Superseded Authority Citation      <b>N1-446-09-005 / 1</b></p> <p><b>Disposition Instruction</b></p> <p>Retention Period                         <b>Destroy when no longer needed</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>Terminated or Inactive Facility Files</b></p> <p>Disposition Authority Number      <b>DAA-0446-2017-0001-0002</b></p> <p><b>Files both physical and electronic terminated NISP facilities.</b></p> <p>Final Disposition                         <b>Temporary</b></p> <p>Item Status                                 <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p>GRS or Superseded Authority Citation      <b>N1-446-09-005 / 2</b></p> <p><b>Disposition Instruction</b></p> <p>Retention Period                         <b>Destroy two years after facility security clearance is terminated. Files with Foreign Ownership Control and Influence (FOCI) material will be retained for 15 years</b></p>

then destroyed in accordance with NC1-446-85-2, item 12.

**Additional Information**

GAO Approval Not Required

**Active files**

Disposition Authority Number DAA-0446-2017-0001-0003

**Electronic files included in the NISS.**

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

**Disposition Instruction**

Retention Period Destroy when no longer needed

**Additional Information**

GAO Approval Not Required

**Six-Part Facility File - Part 1**

Disposition Authority Number DAA-0446-2017-0001-0004

Part 1 of the six-part file folder contains documents regarding the facility security clearance (FCL), as follows: •A copy of the initial FCL request. •DD Form 441 (Department of Defense Security Agreement) or DD Form 441-1 (Appendage to Department of Defense Security Agreement) as applicable (current information only). •Standard Form 328 (Certificate Pertaining to Foreign Interests) and associated correspondence (e.g., Special Security Agreements, Voting Trusts) (current information only) for those that were received prior to the implementation of e-FCL. The information received through e-FCL does not have to be retained in hard copy. •Current documentation relative to key management personnel (KMP) eligibility and access determinations, establishment of executive committees, board exclusion resolutions, etc. •Correspondence regarding the status of the FCL, including upgrade, termination, and invalidation. Any information in ISFD does not have to be printed. •Documentation on currently approved contractor offsite locations (i.e., contractor locations considered to be an extension of the main contractor facility where classified work is performed). •Waivers

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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? No  
GRS or Superseded Authority Citation N1-446-09-005 / 4/A/1  
Disposition Instruction  
Retention Period Destroy when superseded.

Additional Information

GAO Approval Not Required

Six-Part Facility File - Part 2

Disposition Authority Number DAA-0446-2017-0001-0005

Part 2 of the six-part facility file folder contains documents pertaining to the visits to the contractor by the Industrial Security Rep and any other DSS personnel including: •Correspondence regarding the security vulnerability assessment (SVA), such as the SVA notification letter, letter to the management outlining the results of the SVA, and the contractor's response to the SVA results letter. •Other significant correspondence (such as e-mails conveying guidance) between the contractor and DSS.

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? No  
GRS or Superseded Authority Citation N1-446-09-005 / 4/A/2  
Disposition Instruction  
Retention Period Destroy after 2 years or two security review cycles, whichever is longer. Longer retention is authorized if it is needed to document an adverse security trend regarding the contractor, unresolved discrepancies, or any special circumstances.

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Additional Information

GAO Approval Not Required

Six-Part Facility File - Part 3

Disposition Authority Number DAA-0446-2017-0001-0006

Part 3 of the six-part facility file folder contains documents regarding adverse or sensitive security issues, as follows: •Copies of security violations and administrative inquiries, including a copy of the violation report with the processing documentation. If the volume of these reports exceeds the capacity of Part 3, a note will be placed in Part 3 explaining that a separate violation folder has been created for this contractor. •Reports of suspicious contact or other unclassified counterintelligence correspondence.

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? No

GRS or Superseded Authority Citation N1-446-09-005 / 4/A/3

Disposition Instruction

Retention Period Destroy after 2 years or two security review cycles, whichever is longer. Longer retention is authorized if needed to document an adverse security trend regarding the contractor, unresolved discrepancies, or any special circumstances.

Additional Information

GAO Approval Not Required

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Six-Part Facility File - Part 4

Disposition Authority Number DAA-0446-2017-0001-0007

Part 4 of the six-part facility file folder contains documents regarding the contractor's involvement in international programs, as follows: •Government-to-government transmissions of classified information and copies of transportation plans. •Classification guidance for foreign classified contracts issued on U.S. Government contracts, similar to a DD Form 254 (Contract Security Classification Guidance). •Export authorizations (e.g., DSP-85, Manufacturing License Agreements, or Technical Assistance Agreements). •Copies of violation reports



involving foreign classified material. •Technology control plans (TCPs). •Program/  
project security instructions.

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? No

GRS or Superseded Authority Citation N1-446-09-005 / 4/A/4

Disposition Instruction

Retention Period Destroy 2 years after it is has been superseded or becomes obsolete. Export licenses must be retained until they are complete or have expired. (Completed or expired export licenses will be returned to the State Department.)

Additional Information

GAO Approval Not Required

Six-Part Facility File - Part 5

Disposition Authority Number DAA-0446-2017-0001-0008

Part 5 of the six-part facility file folder contains the following: •Special security requirements. •Closed area approvals, as recorded on DSS Form 147 (Record of Controlled Area). •Documentation concerning security-in-depth determinations. The Industrial Security Rep must document each decision pertaining to security-in-depth at the contractor facility. The documentation must include justification for the determination. •Long term and special visitor agreements. •Consultant agreements. •Government-required briefings. •DSS Form 217A (DSS COMSEC Report—Seed Key Only COMSEC Account (SOCA)), DSS Form 217B (DSS COMSEC Report—Traditional Account), and any COMSEC account correspondence. •DSS approval letters for the use of destruction equipment and public destruction facilities. •Consolidated list of accredited Information Systems.

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? No

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GRS or Superseded Authority Citation N1-446-09-005 / 4/A/5

Disposition Instruction

Retention Period Destroy when superseded.

Additional Information

GAO Approval Not Required

Six-Part Facility File - Part 6

Disposition Authority Number DAA-0446-2017-0001-0009

Part 6 of the six-part facility file folder contains documents regarding classification guidance, as follows: •List of classified contracts. •DD Forms 254 (Contract Security Classification Specification). •Classification guides, typically referenced in the DD Form 254.

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

GRS or Superseded Authority Citation N1-446-09-005 / 4/A/6

Disposition Instruction

Retention Period Destroy when superseded.

Additional Information

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
01/31/2018	Certify	Ron White	Records Manager	DOD - OSD
06/05/2018	Submit for Concurrency	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/06/2018	Concur	Sebastian Welch	Supervisory Archivist Specialist	National Archives and Records Administration - ACR4
06/14/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/15/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist