

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0446-2017-0001

Status: APPROVED
Date Approved: 06/15/2018

General Information

Agency or Establishment	Defense Security Service
Record/Scheduling Group	0446 - Records of the Defense Security Service
Records Schedule Applies To	Agency-wide
Schedule Subject	Industrial Security Case Files
Additional Schedule 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.

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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

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- 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

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•Facility Profile Documents

Is There a Classified Version of This
Schedule? No

Is consultation and coordination with
Tribal Governments required? Predate requirement

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Item Count

Total number of disposition items: 9

Number of Temporary disposition items: 9

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 7

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

Item #	Title	Disposition
0001	Hard copy printouts	Temporary
0002	Terminated or Inactive Facility Files	Temporary
0003	Active files	Temporary
0004	Six-Part Facility File - Part 1	Temporary
0005	Six-Part Facility File - Part 2	Temporary
0006	Six-Part Facility File - Part 3	Temporary
0007	Six-Part Facility File - Part 4	Temporary
0008	Six-Part Facility File - Part 5	Temporary
0009	Six-Part Facility File - Part 6	Temporary

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Records Schedule Items

DAA-0446-2017-0001-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Hard copy printouts	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-446-09-005 / 1	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Destroy when no longer needed	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0446-2017-0001-0002		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Terminated or Inactive Facility Files	
Item Description	Files both physical and electronic terminated NISP facilities.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-446-09-005 / 2	No	

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Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Item superseded by DAA-0446-2022-0013-0001. on 09/01/2023.	
Final Disposition	Temporary
Retention Period	Other: Destroy two years after facility security clearance is terminated. Files with Foreign Ownership Control and Influence (FOCI) material will be retained for 15 years then destroyed in accordance with NC1-446-85-2, item 12.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0446-2017-0001-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Active files
Item Description	Electronic files included in the NISS.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Destroy when no longer needed
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0446-2017-0001-0004	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Six-Part Facility File - Part 1

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Item Description	<p>Part 1 of the six-part file folder contains documents regarding the facility security clearance (FCL), as follows:</p> <ul style="list-style-type: none"> •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 	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-446-09-005 / 4/A/1	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. Item superseded by DAA-0446-2022-0013-0001. on 09/01/2023.		
Final Disposition	Temporary	
Retention Period	Other: Destroy when superseded.	
ADDITIONAL INFORMATION		

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0446-2017-0001-0005	STATUS: INACTIVE - NOT FOR USE				
ITEM GENERAL INFORMATION					
Item Title	Six-Part Facility File - Part 2				
Item Description	<p>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:</p> <ul style="list-style-type: none"> •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. 				
Is this item media neutral?	Yes				
Is this item a Big Bucket?					
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS					
Does this item supersede existing disposition authorities?	Yes				
	Superseded Items				
Superseded Item	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%; border-bottom: 1px solid black;">Item Superseded</th> <th style="border-bottom: 1px solid black;">Explanation</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px 5px;">N1-446-09-005 / 4/A/2</td> <td style="padding: 2px 5px;">No</td> </tr> </tbody> </table>	Item Superseded	Explanation	N1-446-09-005 / 4/A/2	No
Item Superseded	Explanation				
N1-446-09-005 / 4/A/2	No				
Is this item a deviation from the GRS?	No				
DISPOSITION INSTRUCTION					
DO NOT USE. Item superseded by DAA-0446-2022-0013-0001. on 09/01/2023.					
Final Disposition	Temporary				
Retention Period	Other: 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.				
ADDITIONAL INFORMATION					

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0446-2017-0001-0006	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Six-Part Facility File - Part 3
Item Description	<p>Part 3 of the six-part facility file folder contains documents regarding adverse or sensitive security issues, as follows:</p> <ul style="list-style-type: none"> •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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?
N1-446-09-005 / 4/A/3	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Item superseded by DAA-0446-2022-0013-0001. on 09/01/2023.	
Final Disposition	Temporary
Retention Period	Other: 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	

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0446-2017-0001-0007	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Six-Part Facility File - Part 4
Item Description	<p>Part 4 of the six-part facility file folder contains documents regarding the contractor's involvement in international programs, as follows:</p> <ul style="list-style-type: none"> •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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?
N1-446-09-005 / 4/A/4	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Item superseded by DAA-0446-2022-0013-0001. on 09/01/2023.	
Final Disposition	Temporary
Retention Period	Other: 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.)

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ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0446-2017-0001-0008	STATUS: INACTIVE - NOT FOR USE
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ITEM GENERAL INFORMATION	
Item Title	Six-Part Facility File - Part 5
Item Description	<p>Part 5 of the six-part facility file folder contains the following:</p> <ul style="list-style-type: none"> •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 facilitates. •Consolidated list of accredited Information Systems.
Is this item media neutral?	Yes
Is this item a Big Bucket?	

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded	Explanation
N1-446-09-005 / 4/A/5	No	
Is this item a deviation from the GRS?	No	

DISPOSITION INSTRUCTION

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DO NOT USE. Item superseded by DAA-0446-2022-0013-0001. on 09/01/2023.	
Final Disposition	Temporary
Retention Period	Other: Destroy when superseded.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0446-2017-0001-0009	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Six-Part Facility File - Part 6
Item Description	Part 6 of the six-part facility file folder contains documents regarding classification guidance, as follows: <ul style="list-style-type: none"> •List of classified contracts. •DD Forms 254 (Contract Security Classification Specification). •Classification guides, typically referenced in the DD Form 254.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?
N1-446-09-005 / 4/A/6	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Item superseded by DAA-0446-2022-0013-0001. on 09/01/2023.	
Final Disposition	Temporary
Retention Period	Other: Destroy when superseded.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Accept	Data Migration	01/31/2018
Approve	David Ferriero	06/15/2018