

## Request for Records Disposition Authority

Records Schedule Number            **DAA-0446-2019-0004**

Schedule Status                        **Approved**

  

Agency or Establishment            **Defense Counterintelligence and Security Agency**

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

Records Schedule applies to        **Agency-wide**

Schedule Subject                       **Background Investigation Records**

Internal agency concurrences will be provided    **No**

Background Information                **This schedule resubmits OPM schedule N1-478-08-2 Investigations, under the Defense Counterintelligence and Security Agency. The Defense Security Service and National Background Investigations Bureau have merged to form the Defense Counterintelligence and Security Agency. Pursuant to statute, Executive Order 13869, "Transferring Responsibility for Background Investigations to the Department of Defense", and an explicit delegation from OPM, the agency will take over performance of Federal background investigations from OPM. These records consists of documents relating to Federal background investigations.**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>5</b>	<b>0</b>	<b>5</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0446-2019-0004

Sequence Number	
1	Investigative Case Files Disposition Authority Number: DAA-0446-2019-0004-0001
2	Investigative Case File Working Papers Disposition Authority Number: DAA-0446-2019-0004-0002
3	Subject Investigation Index Disposition Authority Number: DAA-0446-2019-0004-0003
4	Adjudication Officer Control Files Disposition Authority Number: DAA-0446-2019-0004-0004
5	Appraisal Reports Disposition Authority Number: DAA-0446-2019-0004-0005

## Records Schedule Items

Sequence Number	
1	<p><b>Investigative Case Files</b></p> <p>Disposition Authority Number      <b>DAA-0446-2019-0004-0001</b></p> <p><b>Master file of each investigation.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>No</b></p> <p>Explanation of limitation            <b>Records are electronic as denoted by the appellation "Master File."</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>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>N1-0478-08-002 / 1/A</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cutoff when case closes.</b></p> <p>Retention Period                      <b>Destroy closed cases involving potentially actionable issues 25 years after case closing. Destroy all other closed cases 16 years after case closing.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>Investigative Case File Working Papers</b></p> <p>Disposition Authority Number      <b>DAA-0446-2019-0004-0002</b></p> <p><b>Reports, related papers, and original investigator notes retained at field offices or processing centers.</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</p>

3	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-0478-08-002 / 1/B
	<b>Disposition Instruction</b>	
	Retention Period	Destroy 30 days after closing date of the related investigation.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Subject Investigation Index</b>	
	Disposition Authority Number	DAA-0446-2019-0004-0003
	<b>Index used for locating and tracking case files during and after the investigation process.</b>	
	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	N1-0478-08-002 / 2	
<b>Disposition Instruction</b>		
Retention Period	Destroy closed cases involving potentially actionable issues after 25 years. Destroy all other closed cases after 16 years.	
<b>Additional Information</b>		
GAO Approval	Not Required	
4	<b>Adjudication Officer Control Files</b>	
	Disposition Authority Number	DAA-0446-2019-0004-0004

Internal agency files containing records on adjudicative actions specifically related to agency contractors' fitness, security clearance, and access eligibility.

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 N1-0478-08-002 / 3

**Disposition Instruction**

Retention Period Destroy entire file 3 years after employment or access to agency facilities and equipment terminates.

**Additional Information**

GAO Approval Not Required

**Appraisal Reports**

Disposition Authority Number DAA-0446-2019-0004-0005

Reports of agency security and suitability investigation program.

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 N1-0478-08-002 / 4

**Disposition Instruction**

Cutoff Instruction Place in inactive file on receipt of succeeding report. Break inactive file annually.

Retention Period Destroy 3 years after break. If there is no succeeding report, destroy 3 years from the date of the report.

5

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
07/10/2019	Certify	Ron White	Records Manager	DOD - OSD
03/23/2020	Submit for Concurrency	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
04/14/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/15/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
05/04/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist