

Request for Records Disposition Authority

Records Schedule Number DAA-0446-2022-0002

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 Major Subdivision

Major Subdivision Office of the Inspector General

Schedule Subject Inspector General Records

Internal agency concurrences will be provided No

Background Information This schedule updates schedules DAA-0446-2018-0003 and DAA-0446-2018-0001.

The current schedules for Defense Security Service Inspector General records no longer covers all the records created and maintained by the agency Inspector General. With the name change from Defense Security Service (DSS) to Defense Counterintelligence and Security Agency (DCSA) and the merger with the National Background Investigations Bureau (NBIB), the DCSA Office of the Inspector General (OIG) record types and retention periods need to be updated to accurately reflect the types of records and retention schedules maintained by the DCSA OIG.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	0	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0446-2022-0002

Sequence Number	
1	Inspection/Evaluations; Audits (Performance Audits, Reviews, Examinations, Agreed-Upon Procedures and Non-Audit Services) Disposition Authority Number: DAA-0446-2022-0002-0001
2	Assistance Disposition Authority Number: DAA-0446-2022-0002-0002
3	Complaints Disposition Authority Number: DAA-0446-2022-0002-0003
4	DoD Hotline Referrals Disposition Authority Number: DAA-0446-2022-0002-0004
5	Investigations Disposition Authority Number: DAA-0446-2022-0002-0005

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1425 453">Inspection/Evaluations; Audits (Performance Audits, Reviews, Examinations, Agreed-Upon Procedures and Non-Audit Services)</p> <p data-bbox="345 474 1149 506">Disposition Authority Number DAA-0446-2022-0002-0001</p> <p data-bbox="345 527 1511 642">Documents related to plans for the management and conduct of inspections/audits performed by OIG and other authorized agencies. Results of internal and external inspections/audits and all supporting documentation.</p> <p data-bbox="345 663 919 695">Final Disposition Temporary</p> <p data-bbox="345 716 849 747">Item Status Active</p> <p data-bbox="345 768 818 800">Is this item media neutral? Yes</p> <p data-bbox="345 821 818 936">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="345 957 818 1052">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="345 1073 1154 1125">GRS or Superseded Authority Citation DAA-0446-2018-0003-0002</p> <p data-bbox="345 1167 659 1199">Disposition Instruction</p> <p data-bbox="345 1230 1520 1304">Cutoff Instruction Cutoff is after inspection/audit is closed; final report is issued.</p> <p data-bbox="345 1325 1507 1398">Retention Period Destroy 10 years after date of final report or when all follow-up actions are completed whichever is later.</p> <p data-bbox="345 1440 656 1472">Additional Information</p> <p data-bbox="345 1493 951 1524">GAO Approval Not Required</p>
2	<p data-bbox="345 1549 500 1581">Assistance</p> <p data-bbox="345 1602 1154 1633">Disposition Authority Number DAA-0446-2022-0002-0002</p> <p data-bbox="345 1654 1507 1957">Contact with the DCSA OIG Hotline requesting information, assistance, or expressing concerns or issues about DCSA operations, processes, or programs, or alleged wrongdoing by non-DCSA personnel. Records may include preliminary analysis, inquiry reports, required coordination, and corrective action; summarized and verbatim interview transcripts; documentation may also include items from official travel, credit card usage, cellular phone usage; time and attendance; training and education history; employment history; financial records; personnel vetting investigation and adjudication history; official and personal email</p>

communications; open source research, including social media posts; and any other documents the OIG determines are relevant to matters being reported.

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

Cutoff Instruction Cutoff after the case is closed or the last case activity, whichever is later.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

Complaints

Disposition Authority Number DAA-0446-2022-0002-0003

Complaints about alleged wrongdoing by DCSA personnel (federal and contractor). Records may include preliminary analysis, required coordination, and corrective action; summarized and verbatim interview transcriptions; documentation may also include items from official travel, credit card usage, cellular phone usage; time and attendance; training and education; employment history; personnel vetting investigation and adjudication history; official and personal email communications; open source research, including social media posts; and any other documents the OIG determines are relevant to address the complaint.

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

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4	GRS or Superseded Authority Citation	DAA-0446-2018-0003-0003	
	Disposition Instruction		
	Cutoff Instruction	Cutoff is the date the investigation/inquiry/incident is closed in the case management tracking system or the date of the last case activity, whichever is later. If an individual has multiple investigation/inquiry/incident records, cutoff for all OIG records for that individual is the closure date of the most recent investigation/inquiry/incident.	
	Retention Period	Destroy 10 years after cutoff or 25 years after congressional or law enforcement activity, civil/criminal litigation, substantiated insider threat activity, and unfavorable employment or national security determination.	
	Additional Information		
	GAO Approval	Not Required	
	DoD Hotline Referrals		
	Disposition Authority Number	DAA-0446-2022-0002-0004	
	All relevant information collected by DCSA OIG Hotline into matters referred by DoD IG Hotline. Records may include preliminary analysis, reports of inquiry/investigation, required coordination, and corrective action; summarized or verbatim interview transcripts; documentation may also include items from official travel, credit card usage, cellular phone usage; time and attendance; training and education; employment and performance history; personnel vetting investigation and adjudication records; official and personal email communications; open source research, including social media posts; and any other supporting documentation OIG determines is relevant to the matters referred by DoD IG Hotline.		
	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	DAA-0446-2018-0001-0001		

5	Disposition Instruction	
	Cutoff Instruction	Cutoff is the date the case is closed or the date of the last case activity, whichever is later.
	Retention Period	Destroy 10 years after cutoff or 25 years after congressional or law enforcement activity, civil/criminal litigation, substantiated insider threat activity, and unfavorable employment or national security determination.
	Additional Information	
	GAO Approval	Not Required
	Investigations	
	Disposition Authority Number	DAA-0446-2022-0002-0005
	Investigations and general inquiries into alleged wrongdoing by DCSA personnel (federal and contractor). Records may include preliminary analysis, reports of investigation, required coordination, and corrective action; summarized and verbatim interview transcripts; documentation may also include items from official travel, credit card usage, cellular phone usage; time and attendance; training and education; employment and performance history; personnel vetting investigation and adjudication history; official and personal email communications; open source research, including social media posts; and any other supporting documentation the OIG determines is relevant to the investigation or inquiry.	
	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	
	Cutoff Instruction	Cutoff is the date the investigation/inquiry/incident is closed in the case management tracking system or the date of the last case activity, whichever is later. If an individual has multiple investigation/inquiry/incident records, cutoff for all OIG records for that individual is the closure date of the most recent investigation/inquiry/incident.

Retention Period	Destroy 10 years after cutoff or 25 years after congressional or law enforcement activity, civil/criminal litigation, substantiated insider threat activity, and unfavorable employment or national security determination.
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
05/03/2022	Certify	Ron White	Records Manager	DOD - OSD
11/14/2022	Submit for Concurrency	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/14/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/14/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
12/16/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office