

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK	
JOB NO <i>NCI-446-81-2</i>	
DATE RECEIVED <i>May 15, 1981</i>	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
<i>6-29-81</i> Date	<i>[Signature]</i> Archivist of the United States

TO: **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)  
Defense Investigative Service

2. MAJOR SUBDIVISION  
Directorate for Management and Resources

3. MINOR SUBDIVISION  
Corres., Records & Support Branch

4. NAME OF PERSON WITH WHOM TO CONFER

JUANITA E. MOREY

5. TEL EXT

693-5013

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 8 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE <i>12 May 81</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Juanita E. Morey</i>	E. TITLE Assistant Records Manager
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Justification: Defense Investigative Service (DIS) has had a reorganization. We have taken over the Defense Industrial Security Program (DISP), formerly under Defense Logistics Agency (DLA). DIS has a need to include the types of records used in DISP offices, in our "Records Maintenance and Disposition Manual" (DISM 28-2).</p> <p>Most of the records described were originally approved by NARS as they appeared in "Files Maintenance and Disposition" DLAM 5015.1. (Department of Defense, Defense Logistics Agency). These description and dispositions were not taken per verbatim in all cases. Changes were made for clarity, accuracy, and easier reading. Where possible the File Series number noted in DLAM 5015.1 that applies to the record has been penned in at the right hand side of the paper.</p> <p>Request NARS approve the following so that DIS may add them to DISM 28-2.</p> <p>I. 8 - INDUSTRIAL SECURITY ITEMS 8-1 THRU 8-32 (SEE ATTACHMENT 1)</p> <p>II. 9 - DISI TRAINING RECORDS ITEMS 9-1 THRU 9-7 (SEE ATTACHMENT 2)</p>		

*60 items*

115-107 Changes herein concurred in by Ms. Morey, DIS/RMO.

*Closed Out. 7-1-81: K.T.D.  
Copy to New Agency & NIM*

5-28-81, RCT/NARS-NCD

\* 8- INDUSTRIAL SECURITY

This series relates to the administration of DoD Industrial Security Program.

1. \* 8-1. POLICY: Documents and related correspondence and instructions which provide guidance and direction relating to the administration of DoD Industrial Security Programs. (155.05)
- a. OFFICE OF PRIMARY RESPONSIBILITY: PERMANENT: Hold <sup>WHEN</sup> 4 years after revision; retire to FRC; offer to the National Archives ~~after~~ 20 years ~~after~~ <sup>WHEN</sup> ~~retirement~~. OLD IN 5 YEAR BLOCKS.
- b. OTHER OFFICES: TEMPORARY: Destroy when superseded, rescinded, or no longer needed.
2. \* 8-2. INDUSTRIAL SECURITY FACILITY CASE FILES: Documents accumulated relative to the processing of facility security clearances and various operational functions (i.e., inspections, surveys, or visits) associated with both "cleared" and "uncleared" facilities, including: DD Form 374, "Facility Security Clearance Survey"; DD Form 441, "DoD Security Agreement"; related forms, inspection reports, and violation reports. (155.20)
- ALL OFFICES: Disposition will be as prescribed in DISR 29-3.
3. \* 8-3. INDUSTRIAL FACILITY CLEARANCE STATUS FILE: DIS Form 408, "Status of Facility Clearance Request", and/or comparable documentation. (155.22)
- ALL OFFICES: TEMPORARY; Destroy 30 days after completion or termination of facility security clearance action. (-155.21)
4. \* 8-4. INDUSTRIAL FACILITY CENTRAL INDEX FILE CARD: DIS Form 553, "Central Index File Card-Facility", used as the source document for recording the basic bank of information about a facility. A copy of the card is maintained as a source document for the Industrial Facility Address File at DISCO. The various cognizant security offices retain the original of the card for record purposes. (155.24)
- ALL OFFICES: TEMPORARY: Destroy within 90 days of entering the information into the automated system, when superseded, or 1 year after termination of facility security clearance, whichever is appropriate.
5. \* 8-5. INDUSTRIAL SECURITY MANAGEMENT REPORTING: DIS Form 603, "Management Scheduling Control" and similar documentation. (155.26)
- a. OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy <sup>WHEN</sup> ~~after~~ 3 years OLD.
- b. OTHER OFFICES: TEMPORARY: Destroy <sup>WHEN</sup> ~~after~~ 1 year OLD.
6. \* 8-6. INDUSTRIAL SECURITY PERFORMANCE INSPECTIONS: DIS Form 409, "Security Inspection Record". (155.28)

ALL OFFICES: TEMPORARY: Destroy 1 year after termination of facility security clearance.

7. \* 8-7. INDUSTRIAL FACILITY STANDARD PRACTICE PROCEDURES: Standard Practice Procedures submitted by contractors which implement DoD security requirements. (155.30)

ALL OFFICES: TEMPORARY: Destroy when superseded or when facility clearance is terminated, whichever is sooner.

8. \* 8-8. INDUSTRIAL FACILITY ADDRESS FILE: An automated filing system which contains records relative to industrial facilities that are associated with the DoD Industrial Security Program. This automated system includes data processing equipment for information storage and retrieval. The information can be linked with individuals in the Industrial Personnel Security Clearance File. (155.40)

ALL OFFICES: TEMPORARY: Retain in the automated file for 62 months after termination, then remove from automated file **AND DESTROY.**

9. \* 8-9. U.S. INDUSTRIAL FACILITY SECURITY ASSURANCES. Documents pertaining to the issuance of U.S. facility assurances to a foreign government, including the foreign government's request for the assurance, record of the clearance status and document storage capability of the U.S. facility upon which the U.S. assurance was based, and either a copy of the U.S. Facility Assurance and Letter of Transmittal or notice to the requester that the assurance could not be issued. (155.45)

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy 90 days after facility has terminated.

10. \* 8-10. FOREIGN INDUSTRIAL FACILITY SECURITY ASSURANCES: Documents relating to facility assurances obtained from a foreign government for use in reciprocal clearance of a U.S. facility. Include the cognizant security office's and the U.S. Government's requests for the assurance, copy of the foreign government's assurance or notice that the assurance could not be issued, and copy of letter transmitting either the assurance or the notice to the cognizant security office. (155.47)

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy 90 days after facility has terminated.

11. \* 8-11. INDUSTRIAL PERSONNEL SECURITY CLEARANCE FILE: An automated filing system which contains records indicating the types of clearance actions taken or in process on industrial personnel or facilities. This automated system includes data processing equipment for information storage and retrieval. (DIS 8-01 paragraph 7b, DISR 28-1). (155.50)

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Purge a facility trailer ADP record and the header data if only a single trailer from the automated Personnel Security Clearance File 62 months from the date of termination.

12. \* 8-12. INDUSTRIAL PERSONNEL SECURITY CASE FILES: Documents accumulated in processing industrial personnel security clearances, which may include DD Form 48, "DoD Personnel Security Questionnaire" (PSQ), and other related forms, as appropriate. (DIS 8-01 paragraph 7b, DISR 28-1). (155.55)

OFFICE OF PRIMARY RESPONSIBILITY:

a. Cases where no derogatory, adverse or questionable information is part of the file.

TEMPORARY: Destroy 1 year after issuance of the clearance if clearance record involves only one facility; otherwise destroy 1 year after issuance of the latest facility clearance and no in-process record.

b. All other cases.

TEMPORARY: Destroy 5 years after issuance of the clearance if clearance record involves only one facility; otherwise destroy 1 year after issuance of latest facility clearance and no in-process record.

13. \* 8-13. INTERNATIONAL PERSONNEL SECURITY CASE FILES: Documents accumulated while processing an individual for a reciprocal, foreign, or international pact (NATO) personnel security assurance or clearance. Includes Personnel Security Questionnaires, adjudicative records, special access authorizations, domestic and foreign personnel assurances, computer printouts, NATO Security Clearance Certificates and other related forms. (155.59)

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy 1 year after termination of clearances/assurance.

14. \* 8-14. VISIT BY U.S. CONTRACTORS TO FOREIGN ACTIVITIES INVOLVING AUTHORIZED DISCLOSURE OF CLASSIFIED INFORMATION: Documents accumulated relative to processing visit requests including letter authorizing disclosure (from either User Agency or the Department of State) and documents such as described under item number 8-13. (155.64)

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy 90 days after processed.

15. \* 8-15. VISITS BY FOREIGN NATIONALS TO U.S. CONTACTORS IN THE U.S.: Documents accumulated relative to processing visit requests of Foreign Nationals to U.S. Contractors in the U.S., when access to Foreign classified information in possession of U.S. Contractors is involved. Included are letters requesting visit authorization from the foreign governments and related correspondence. (155.66)

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy ~~1 year~~ <sup>WHEN</sup> 1 year <sup>OLD</sup> or when visit is completed ~~WHICHEVER IS APPLICABLE~~.

16. \* 8-16. INDUSTRIAL FACILITIES PROTECTION PROGRAM: Documents relating to the operation of the DoD IFPP by offices assigned program responsibilities. (157.95)

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy ~~3 years~~ <sup>WHEN</sup> 3 years <sup>OLD</sup>.

17. \* 8-17. INDUSTRIAL FACILITIES PROTECTION SURVEYS: Documents relating to surveys to (157.10)  
Key Facilities that are essential to mobilization. Specifically, these survey documents contain information and recommendations affecting organization, physical security, production, and personnel continuity measures required to ensure uninterrupted operations. Included are copies of industrial facility protection survey reports, survey letters, narratives, and related documents.

a. OFFICE OF PRIMARY RESPONSIBILITY:

(1) Initial Survey:

TEMPORARY: Destroy after removal from KFL.

(2) Narrative Description - photo, maps and other descriptive material essential to conducting future survey.

TEMPORARY: Destroy when superseded, obsolete or facility is removed from KFL.

(3) Surveys (other than initial survey) and survey letters.

TEMPORARY: Destroy ~~after~~ 4 years or upon removal from KFL whichever occurs first.

b. OTHER OFFICES:

TEMPORARY: Destroy after completion of review and analysis, or upon removal from KFL, or 1 year, whichever comes first.

18. \* 8-18. INDUSTRIAL FACILITIES PROTECTION PERFORMANCE SURVEYS: DIS Form 409A, (157.10)  
"Survey Record".

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy upon removal from KFL.

19. \* 8-19. DoD KEY FACILITIES LIST:

a. OFFICE OF PRIMARY RESPONSIBILITY: PERMANENT: Cutoff 30 Sept, hold 10 (157.13)  
years, after revision, transfer to FRC. Offer to National Archives ~~IN 5 YEAR~~  
~~security classification~~ ~~PERMITS.~~  
BLOCKS WHEN

b. OTHER OFFICES: TEMPORARY: Destroy after revised KFL received.

20. \* 8-20. INDUSTRIAL FACILITIES PROTECTION PROGRAM CHANGE LIST: (DD Form 451) (157.15)

Documents listing facilities approved by DoD components for inclusion, change or deletion from the KFL.

a. OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy 6 months after publication of next KFL, or changes thereto.

b. OTHER OFFICES: TEMPORARY: Destroy upon verification that additions, deletions, or changes have been included in the subsequent edition of the KFL.

21.\* 8-21. INDUSTRIAL FACILITIES PROTECTION PROGRAM SURVEY CONTROL RECORD: DIS Form 1614 (NEW)

a. OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy ~~3~~<sup>WHEN</sup> 3 years OLD.

b. OTHER OFFICES: TEMPORARY: Destroy ~~1~~<sup>WHEN</sup> 1 year OLD.

22.\* 8-22. ARMS, AMMUNITION AND EXPLOSIVES SURVEY REPORTS: (DoD Contracts Without Physical Security Standards). Individual facility AA&E Reports of surveys conducted in accordance with DISR 5000.4, "Physical Security of Sensitive Conventional AA&E at Contractor Facilities." (157.22)

OFFICE OF PRIMARY RESPONSIBILITY:

a. Initial Survey: TEMPORARY: Destroy one year after termination of last remaining contract.

b. Follow-up Survey: TEMPORARY: Destroy 2 years after date of report or one year after termination of last remaining contract.

23.\* 8-23. ARMS, AMMUNITION AND EXPLOSIVES INSPECTION SURVEY REPORTS (with DoD Physical Security Standards in Contract): (157.11)

a. OFFICE OF PRIMARY RESPONSIBILITY:

(1) Pre-Award Survey: TEMPORARY: Destroy upon award of contract or 2 years whichever comes first.

(2) Initial Inspection: TEMPORARY: Destroy 1 year after termination of AA&E contract(s).

(3) Follow-up Inspection: TEMPORARY: Destroy 3 years after completion of inspection or 1 year after close-out inspection.

(4) Close-Out Inspection: TEMPORARY: Destroy 1 year after completion of close-out inspection.

b. OTHER OFFICES: TEMPORARY: Destroy when no longer needed.

24.\* 8-24. ARMS, AMMUNITION AND EXPLOSIVES PROGRAM - REQUEST FOR WAIVERS/DECISIONS: (157.11)

a. OFFICE OF PRIMARY RESPONSIBILITY (V0420): TEMPORARY: Destroy 3 years after completion of contract to which it pertains.

b. OTHER OFFICES: Destroy 1 year after completion of contract to which it pertains.

25.\* 8-25. ARMS, AMMUNITION AND EXPLOSIVES PROGRAM: Surveys/Inspections. DIS Form 409a. (NEW)

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy 1 year after termination of AA&E contract(s).

26. \* 8-26. ARMS, AMMUNITION AND EXPLOSIVES PROGRAM SURVEY/INSPECTION CONTROL RECORD: (NEW)  
DIS Form 1614 "Defense Industrial Facilities Protection Program (DIFPP) Survey Control", may be used.  
a. OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy ~~3~~<sup>WHEN</sup> 3 years OLD.  
b. OTHER OFFICES: Destroy ~~1~~<sup>WHEN</sup> 1 year OLD.
27. \* 8-27. ARMS, AMMUNITION AND EXPLOSIVES CONTRACT DATA SHEET: DIS Form 43. (NEW)  
ALL OFFICES: TEMPORARY: Destroy each contractor data sheet when superseded by another.
28. \* 8-28. SIGNIFICANT ARMS, AMMUNITION AND EXPLOSIVES INCIDENT REPORTS: (NEW)  
a. OFFICE OF PRIMARY RESPONSIBILITY (V0420): TEMPORARY: Destroy ~~3~~<sup>WHEN</sup> 3 years OLD.  
b. OTHER OFFICES: Destroy ~~1~~<sup>WHEN</sup> 1 year OLD.
29. \* 8-29. ARMS, AMMUNITION AND EXPLOSIVES PROGRAM: Surveys/Inspections. DIS Form 409A. (NEW)  
OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy 1 year after termination of AA&E contract(s).
30. \* 8-30. ARMS, AMMUNITION AND EXPLOSIVES PROGRAM SURVEY/INSPECTION CONTROL RECORD: (NEW)  
DIS Form 1614 "Defense Industrial Facilities Protection Program (DIFPP) Survey Control" may be used.  
a. OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy ~~3~~<sup>WHEN</sup> 3 years OLD.  
b. OTHER OFFICES: Destroy ~~1~~<sup>WHEN</sup> 1 year OLD.
31. \* 8-31. SIGNIFICANT ARMS, AMMUNITION AND EXPLOSIVES INCIDENT REPORTS: (NEW)  
a. OFFICE OF PRIMARY RESPONSIBILITY (V0420): TEMPORARY: Destroy ~~3~~<sup>WHEN</sup> 3 years OLD.  
b. OTHER OFFICES: Destroy ~~1~~<sup>WHEN</sup> 1 year OLD.
32. \* 8-32. ARMS, AMMUNITION AND EXPLOSIVES CONTRACT DATA SHEET: DIS Form 43. (NEW)  
ALL OFFICES: TEMPORARY: Destroy each contractor data sheet when superseded by another.

\*9 - DISI TRAINING RECORDS

Records relating to the overall administration of training at DISI.

- 33.** \* 9-1. TRAINING RECORDS: Correspondence and other documents relating to the overall administration of training given/approved by DISI. May include request for training. (335.20)
- a. OFFICE OF PRIMARY RESPONSIBILITY (DISI) TEMPORARY: Destroy ~~WHEN~~ 10 years OLD.
- b. OTHER OFFICES: TEMPORARY: Cut off 31 December hold one year; destroy.
- 34.** \* 9-2. ENROLLMENT REGISTRATION AND COUSE COMPLETION RECORDS: Disketts (floppy disk) (335.01) and official machine printed index cards, containing information and administrative data pertaining to attendance at the Institute, to include employer, course completion, and other similar data. (DIS 7-01 paragraph 7b, DISR 28-1).
- OFFICE OF PRIMARY RESPONSIBILITY: (DISI)
- a. Disketts: TEMPORARY: Upon verification that information has been transferred onto index cards, disks will be erased and re-used every 2 years, or when full, whichever occurs first. NOTE: If disks become unusable before the 2 year period, destroy them after removing all information possible.
- b. Official Index Cards: TEMPORARY: Records will be maintained at the Institute, and will be destroyed 10 years from the date of the last transaction.
- 35.** \* 9-3. TRAINING PLANS: Documents reflecting overall programming and scheduling of (NEW) training and reports of progress thereon.
- OFFICE OF PRIMARY RESPONSIBILITY: Destroy ~~WHEN~~ 5 years OLD.
- 36.** \* 9-4. ON POST TRAINING: Documents relating to specific training courses conducted at the activity utilizing local personnel as instructors. Documents reflecting the course content, attendance records, evaluation reports, comments, etc. (335.30)
- OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy ~~WHEN~~ 5 years OLD.
- 37.** \* 9-5. TRAINING IN OTHER GOVERNMENT FACILITIES: Documents relating to training of (335.40) employees in other Government facilities, including requests for quotas, or personnel spaces, evaluations or comments.
- OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy ~~WHEN~~ 5 years OLD.
- 38.** \* 9-6. TRAINING IN NON-GOVERNMENT FACILITIES: Documents relating to training (335.50) of employees in other than Government facilities including requests for an approval of such training, copies of obligated services agreements, training contracts, etc.
- OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy ~~WHEN~~ 5 years OLD.

39.\* 9-7. GUEST/INSTRUCTOR IDENTIFICATION RECORDS: Cards containing instructor's (NEW) name, position, biographical data and other background information. (DIS 7-02 paragraph 7b, DISR 28-1).

OFFICE OF PRIMARY RESPONSIBILITY: TEMPORARY: Destroy when no longer needed.

Item 8-1 "Policy"

Arrangement: Chronological

Volume on hand at O.P.R.:  $2\frac{1}{2}$  cubic feet

Annual Accumulation: estimated at  $\frac{1}{4}$  cubic feet

Records on hand date back to 1971.

Item 8-19 "DoD Key Facilities List"

Arrangement: Geographical/alphabetical

Volume on hand at O.P.R.: 2 cubic feet

Annual Accumulation: estimated at 6" year

Records on hand date back to 1970.