

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-509-07-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 04/29/2022

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 805b remains active.

Item 805c remains active.

Item 805d remains active.

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 805a was not appraised; it was previously approved under N1-330-88-004.

Item 805e1 is covered by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016).

Item 805e2 is covered by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016).

Item 805f1 is a filing instruction.

Item 805f2 is covered by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001).

# Request for Records Disposition Authority

(See Instructions on reverse)

## Leave Blank (NARA Use Only)

Job Number

*NI-509-07-2*

Date Received

*8/15/07*

### Notification to Agency

In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

Date

*5/20/03*

Archivist of the United States

*Ann W...*

To National Archives and Records Administration (NIR)  
Washington, DC 20408

1 From (Agency or establishment)

Office of Inspector General

2 Major Subdivision

Department of Defense

3 Minor Subdivision

Ofc. of Investigations, Defense Criminal Investigative Svc.

4 Name of Person with whom to confer

Bruce Womack, Acting Records Manager

5 Telephone (include area code)

703-602-3794

### 6 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 on the attached 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies

is not required

is attached

has been requested

Signature of Agency Representative

*[Signature]*

Title

Director, Admin. & Logistics Svcs.

Date (mm/dd/yyyy)

*08/08/2007*

7 Item Number

8 Description of Item and Proposed Disposition

9 GRS or Superseded Job Citation

10 Action taken (NARA Use Only)

This request for records Disposition Authority covers records for the

Office of Inspector General  
Department of Defense  
Office of the Deputy Inspector General for Investigations

which require a change in disposition to an existing schedule.

*Kelly J Kraus* DATE: 8/8/07  
Concurred with on this date by  
Kelly Kraus, S/A Polygraph Examiner, DCIS

*[Signature]* DATE: 8/9/07  
Concurred with on this date  
by the Office of the General Counsel OGC  
*Philip W. Lindy*  
Asst Gen Counsel

*6/5/08 12 copies sent to agency, DWMB, DWMG, DWMW, & NR*

**RECORDS SCHEDULE FOR THE RECORDS OF THE  
DEPARTMENT OF DEFENSE  
Office of Inspector General  
For The Office of Investigations**

The Department of Defense Office of Inspector General was established by Congress as one of the independent and objective units within listed establishments of Department of Defense. As the principal advisor to the Secretary of Defense in all Inspector General matters, the Inspector General serves as an extension of “the eyes, ears and conscience” of the Secretary. In support of the Inspector General mission, the Defense Criminal Investigative Service (DCIS) of the Office of Investigations, requires a change in disposition of polygraph records referencing Office Of The Under Secretary of Defense memo, subject: Interim Policy for Polygraph Anti-Countermeasure Procedures dated March 27, 2006.

**Office of Investigations DCIS**

**Mission**

DCIS’ mission is to protect America’s warfighters by conducting investigations in support of crucial National Defense priorities. DCIS assists the Inspector General in fulfilling statutory responsibilities to detect, investigate and prevent fraud, waste and abuse and other improper acts. To this end, DCIS investigates allegations of criminal, civil and administrative violations and promotes economy, efficiency and effective operations within DoD. Pursuant to the statutory obligations of the DoD Inspector General to “initiate, conduct, and supervise such...investigations in the Department of Defense (including the military departments) as the Inspector General considers appropriate” (IG Act § 8©(2)) and to “give particular regard to the activities of the internal ... investigative units of the military departments with a view toward avoiding duplication and insuring effective coordination and cooperation” (IG Act § 8©(9)), DCIS devotes the majority of its’ resources to investigations involving terrorism, product substitution, computer crimes/intrusions, illegal technology transfers, and other categories of fraud (i.e. bribery, corruption, and major thefts).

**Function**

The function of Polygraph Program, DCIS is to provide polygraph support to DCIS offices in support of criminal investigations and counterintelligence activities affecting National Defense priorities.

**CONCEPT OF THE PSYCHOPHYSIOLOGICAL DETECTION OF DECEPTION (PDD) PROGRAM**

a. The PDD technique has been accepted by the Defense Criminal Investigative Service (DCIS) as a valuable investigative tool that can be utilized in appropriate cases under its jurisdiction. Through its proper use, many cases can be resolved resulting in a reduction in the number of man-hours, equipment, and money required. To this end and with a view toward establishing strict rules of professional conduct, the following PDD Program Operating Procedures are established. The term PDD will be used

interchangeably with the older term "polygraph" in this document.

b. Strict adherence to these procedures will ensure that the DCIS PDD Program is effective, valuable, cost efficient, and productive. It will further ensure that the program is being conducted within the guidelines of the Department of Defense Regulation 5210.48R, within the limits of current judicial opinions, and at a level of professionalism above the minimum acceptable standards found in the field of PDD. The DCIS PDD Program will adhere closely to the Federal PDD Examiner Handbook.

cb. The PDD instrument is a scientific, diagnostic instrument that graphically records physiological changes that take place in a person at a specific time. In the hands of a trained PDD examiner, it is highly reliable in detecting deception being practiced by a subject regarding a specific issue. The end result of the procedure, therefore, is to obtain the truth concerning a specific matter. The detection of deception is only part of the procedure. Examinations are only completely successful when the end result achieved is arriving at the truth.

cd. Within DCIS, the PDD examination is to be used as an investigative tool in support of the agents of this service in accomplishing his/her assigned duties. It will not replace a proper and thorough investigative effort, nor will it be used as a psychological prop. Reasonable efforts will be made to resolve the investigative issues in question prior to employing its use. PDD examinations will not be indiscriminately given as a routine course of each investigation but rather will be administered by DCIS certified examiners or intern examiners, under monitorship by certified examiners, when approved by proper authority after evaluation of the specific facts of a case.

**RECORDS CONCERNED: Office of Inspector General, Specific Records for the Office of Investigations DCIS.**

~~**Change in File # 805. Polygraph Records.** This series covers records created or maintained by the OIG Office Investigations, DCIS Division.~~

All DOD polygraph examinations must include the use of a Movement Sensor Device (MSD) as a recorded channel. DOD polygraph programs are required to digitize and retain, **for at least 35 years**, all physiological test data recorded (in polygraph charts) during an examination, and sufficient technical data to identify the subject, test questions, and results, including any relevant admissions.

(FOUO) When countermeasure efforts are confirmed by a subject's admission, all charts and relevant data must be forwarded to the Department of Defense Polygraph Institute (DODPI) for analysis.

Disposition:

Recordkeeping copy (Digitized records) – Must digitize records. Cut off at end of calendar year. Destroy 35 years after the investigation report has been closed or completed.

*See Attached*

805 Polygraph Examination Files

~~a. Polygraph Examinations (Paper copies): Polygraph examination, report and related documents. Filed with the Report of Investigation (ROI) under File No. 850, "Criminal Investigation Case Files." (N1-330-88-4).~~

*Previously Approved  
11/8/07  
[Signature]*

*Precession a copy of the records to NARA 2 years after each quality assurance inspection. NARA will take legal custody of the records 35 years after the corresponding case file is closed.*

~~b. Polygraph Examinations Charts and Questionnaires (Electronic copy) relating to Criminal Investigation Case Files covered under File No. 850, item b. PERMANENT. Cut off at the end of the calendar year. Transfer with the corresponding case file to the National Archives in a format that meets NARA standards at the time of transfer.~~

*Withdrawn  
Per Jerry Nashorn's  
3/12/08*

~~c. Polygraph Examinations Charts and Questionnaires (Electronic copy) relating to Criminal Investigation Case Files covered under File No. 850, item c. TEMPORARY. Cut off at the end of the calendar year. Destroy 35 years after the investigation report has been closed or completed~~

~~d. Polygraph Examinations Charts and Questionnaires (Electronic copy) relating to examinations conducted by DCIS for other Federal Agencies. Cut off at the end of the calendar year TEMPORARY. Destroy 35 years after receipt of the examination by the requesting agency~~

*[Signature]*

*Amended per Kelly Kraus, OIG DOD  
1/30/2008 [Signature]*

~~e. Index Spreadsheet: an index of polygraph examinations conducted by the Defense Criminal Investigative Service, used for retrieval purposes and maintained in the Polygraph Office.~~

~~(1) Recordkeeping copy (paper): DESTROY when updated. (N1-509-00-3)~~

~~(2) Electronic copy used for dissemination, revision, or updating that is maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N1-509-00-3).~~

~~f. Polygraph Transmittal Memorandum. Memorandum transmitting the polygraph, report and related documents to the Report of Investigation (ROI).~~

*Previously Approved  
11/8/07  
[Signature]*

~~(1) Recordkeeping copy (paper): Filed with the Report of Investigation (ROI) under File No. 850, "Criminal Investigations Case Files" (N1-509-00-3)~~

~~(2) File copy (paper). File copy of the transmittal memorandum (without the polygraph examination, report and related documents) and maintained in the Polygraph Office. DESTROY when 3 years old. (N1-509-00-3).~~

*See Attached*

805 Polygraph Examination Files

- ~~a. Polygraph Examinations (Paper copies): Polygraph examination, report and related documents. Filed with the Report of Investigation (ROI) under File No 850, "Criminal Investigation Case Files." (N1-330-88-4).~~
- b. Polygraph Examinations Charts and Questionnaires (Electronic copy) relating to Criminal Investigation Case Files covered under File No. 850, item b. TEMPORARY. Cut off at the end of the calendar year. Destroy 35 years after the investigation report has been closed or completed
- c. Polygraph Examinations Charts and Questionnaires (Electronic copy) relating to Criminal Investigation Case Files covered under File No 850, item c. TEMPORARY Cut off at the end of the calendar year. Destroy 35 years after the investigation report has been closed or completed.
- d. Polygraph Examinations Charts and Questionnaires (Electronic copy) relating to examinations conducted by DCIS for other Federal agencies Cut off at the end of the calendar year. TEMPORARY Destroy 35 years after receipt of the examination by the requesting agency.
- ~~e. Index Spreadsheet: an index of polygraph examinations conducted by the Defense Criminal Investigation Service, used for retrieval purposes and maintained in the Polygraph Office~~
- (1) Recordkeeping copy (paper). DESTROY when updated (N1-509-00-3).
- (2) Electronic copy used for dissemination, revision, or updating that is maintained in addition to the recordkeeping copy DELET when dissemination, revision, or updating is complete (N1-509-00-3).
- f. Polygraph Transmittal Memorandum: Memorandum transmitting the polygraph, report, and related documents to the Report of Investigations (ROI).
- (1) Recordkeeping copy (paper): Filed with the Report of Investigation (ROI) under File No. 850, "Criminal Investigations Case Files." (N1-509-00-3).
- (2) File copy (paper): File copy of the transmittal memorandum (without the polygraph examination, report and related documents) and maintained in the Polygraph Office. DESTROY when 3 years old. (N1-509-003).

*Previously approved  
11/8/07*

*Previously approved  
11/8/07*

~~(3) Copies created on word processing systems. DELETE when  
recordkeeping and file copies have been produced. (N1-509-00-3)~~

*Previously  
Approved  
11/4/07*

*J*