

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-289-78-01

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Explanation / Description:

This schedule was superseded in full by N1-289-86-001. The 1986 schedule did not alter any retention periods or instructions. It simply redefined the medium of the record copy as microfilm.

Date Reported: 11/21/2022

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSAL AUTHORITY
(See Instructions on reverse)

Rec'd NCI 10 Aug 78

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

1. FROM (AGENCY OR ESTABLISHMENT)
DEPT. OF THE NAVY

2. MAJOR SUBDIVISION
OPNAV/NAVAL INTELLIGENCE COMMAND

3. MINOR SUBDIVISION
NAVAL INVESTIGATIVE SERVICE

4. NAME OF PERSON WITH WHOM TO CONFER
C.J. TUZA, HEAD ADMINISTRATIVE DEPT.
N.J. PARMAN, HEAD RECORDS MGT. DIV.

5. TEL EXT
325-9009
325-9087

LEAVE BLANK	
JOB NO.	
NCI-289-78-1	
DATE RECEIVED	AUG 28 1978
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
10-27-78 Date	<i>James B. [Signature]</i> Archivist of the United States

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 6 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 17 Jul 78	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> I. P. CONNELL CAPT USN	E. TITLE DIRECTOR, NAVAL INVESTIGATIVE SERVICE
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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>NAVAL INVESTIGATIVE SERVICE HEADQUARTERS</p> <p>INVESTIGATIVE RECORDS</p> <p>The NIS Investigative Records includes those investigative and related counterintelligence activities which are undertaken to safeguard Department of Defense, specifically Department of the Navy, information, personnel, functions and installations. This request for authority to dispose of records is applicable to NIS components which engage in, or maintain, investigative records of the Defense Investigative Program activities (Reference NCI-330-76-1).</p>		

28 items

sent to [unclear], NNM

- (5) Requests for DOD personnel to attend or officiate at meetings, ceremonies, etc. as representatives of DOD. Information concerning the organization/individual making the request, the nature of the event, and any other details describing the occasion. Disposable. Destroy no later than 1 year after the event.
- (6) One-time requests for admittance to installations (speakers, bands, drill teams, tours, etc.) Information concerning the organization/individual requesting admittance to the installation. Disposable. Destroy not later than 1 year after the event.
- (7) Inquiries from members of the public to the DOD for information relating to DOD functions or units, unit insignia, signatures or photos of senior commanders, etc. Information concerning the collectors of such items. Disposable. Destroy after 1 year or when no longer determined pertinent by an annual review.
- (8) Unsubstantiated reports to DOD components from members of the public alleging imminent invasions, plots and similar events of a delusional nature, and assorted "crank" letters. Information concerning the organization/individual providing such details. Disposable. Destroy after 1 year or when no longer determined pertinent by an annual review.
- (9) Information collected on non-DOD Affiliated Civilians Incident to the Personnel Security Investigation of an Affiliated Member. Disposition normally will be the same as the related case file as set forth in paragraph 1.a. above.
- (10) Agent Applicants for positions with NIS. Information concerning applicants. Disposable. Applicants not accepted by NISHQ retain information 5 years. Applicants who declined to accept employment with NISHQ retain information no longer than 1 year.
- (11) Foreign Nationals. Investigations involving marriage between Department of the Navy personnel and foreign nationals. Disposable. Destroy after 1 year unless there is significant derogatory material then retain 25 years.
2. Civil Disturbance Files. The Attorney General is the chief civilian officer in charge of coordinating all Federal Government activities relating to civil disturbances. Upon specific prior authorization of the Secretary of Defense or his designee, information may be acquired which is essential to meet operational requirements flowing from the mission assigned to the Department of Defense to assist civil authorities in dealing with civil disturbances. Such authorization will only be granted when there is a distinct threat of civil disturbance exceeding the law enforcement capabilities of state and local authorities. Information collected in these circumstances will be disposed of as follows:

an actual example of violent or criminal hostility has been carried out within the previous year; threatened hostility - activities which during the previous year have explicitly threatened DoD functions; potential hostility - activities whose continuing hostile nature in the vicinity of DoD installations provides a significant potential source of harm or disruption of the installation or its function; dissidence activities - activities during the previous year which have involved actively encouraging violation of law, disobedience of lawful order or regulation, or disruption of military activities. Disposable as follows:

(a) Information which falls in the above categories that is originated by, and received or acquired from, agencies outside the DoD, will be destroyed not later than 1 year after acquisition unless validated for retention for another year when it is determined during the annual verification review by the Secretaries of the Military Departments that a continued threat exists.

(b) Files or other documents created within DoD which contain significant analytical comments, value judgments or recommendations pertaining to information received or acquired from agencies outside the DoD shall be retained for a period not in excess of 1 year after acquisition, unless validated on an annual basis for continued retention. When DoD originated information is not validated for continued retention, these files will be offered to the National Archives for a determination of their historical value.

(2) Activities or events not posing a continuing threat. Information originated by, and received or acquired from, agencies outside the DoD during the course of routine investigative or liaison activity which after receipt is subsequently determined to fall outside the area of interest of the DoD, or which is determined not to pose a threat to DoD personnel, property or functions and no DoD file is created or DoD information generated. Disposable. Destroy immediately after an evaluation determines a threat does not exist or not later than 90 days following acquisition.

(3) Special Investigations/Operations. Files or other documentation originated by DoD components pertaining to those activities of non-DoD affiliated organizations/individuals which potentially or actually threaten DoD functions, property or personnel, and files or other documentation relating to Defense Investigative Review Council (DIRC) approved measures to quell or counter these activities. Permanent. Offer to the National Archives within 25 years after the date of the last action.

(4) Organizations/Individuals Servicing DoD Installations. Investigative information on organizations/individuals providing commercial services, engaged in contracts, or otherwise engaged in business enterprises on DoD installations. Disposable. Destroy 1 year after the service is discontinued unless the contract is in dispute in which event the file will be destroyed one year after final payment or other settlement obligation.

1. NIS Investigative/Operational Case Files. Includes personnel security data on members of the Armed Forces, DoD civilian employees, and contractor employees under the Defense Industrial Security Program; data on activities threatening the security, or involving the disruption or subversion, of DoD military and civilian personnel, functions, activities, installations, information, communications, equipment and supplies; data on investigative activities authorized in connection with civil disturbance responsibilities within the United States, the District of Columbia, the Commonwealth of Puerto Rico and United States territories and possessions.

a. Files relating to DoD-Affiliated Civilian/Military Members. Dis-posable. Retention periods for investigative records will be as follows:

(1) Routine Investigations. Personnel security investigations of a favorable nature and other investigations of a minor nature. Disposable. Destroy 15 years after the date of the last action. Personnel security files on persons who are considered for affiliation with DoD will be destroyed after 1 year if the affiliation is not completed.

(2) Significant Incidents or Adverse Actions. Personnel security investigations resulting in an adverse personnel action or court-martial, or other investigation of a significant nature which resulted in widespread public or Congressional interest. Disposable. Destroy 25 years after the date of the last action. Those files determined to be of possible historical value may be offered to the National Archives after 15 years.

* (3) Criminal Investigation Reports and Counterintelligence Reports of a non-significant nature. Reports of felony or similar type offenses and security violations. Destroy 25 years after the date of the latest action unless report has historical value in which case it will be offered to the National Archives after 25 years.

(4) Major Investigations. Investigations of espionage and sabotage, or other major investigations of a counterintelligence/security nature. Permanent. Offer to the National Archives within 25 years after the date of the last action.

b. Files relating to non-DoD Affiliated U.S. Citizens/Organizations or Foreign Nationals.

(1) Activities or events posing one of the following types of continuing threats to DoD military and civilian personnel and Defense activities and installations: Demonstrated hostility - activities in which

* retention periods will be based on whether interest in the cases, the notoriety of the offenses, and the seriousness of the offenses. Final determinations of the historical value of the selected materials will be made by the National Archives.

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a. Open source listing of federal, state and local officials who have official responsibilities related to control of civil disturbances which are obtained prior to commitment of federal troops and routinely maintained for planning purposes. Disposable. Destroy when superseded, obsolete, or no longer needed.

b. Open source physical data on vital public or private installations, facilities, highways, and utilities, which may be necessary to carry out missions assigned are obtained prior to commitment of federal troops and routinely maintained for planning purposes. Disposable. Destroy when superseded, obsolete, or no longer needed.

c. Data which pertains to early warnings of incidents, potential threats and situation estimates which are obtained from federal, state or local investigative or law enforcement agencies (which is duplicative of files maintained by the originating agency) prior to commitment of federal troops and subjected to evaluation to determine pertinency with no DoD file being created or no DoD information generated. Disposable. Destroy 60 days after termination of the specific situation or incident.

d. Data collected or developed by DoD components during a period when field acquisition, reporting or processing activities have been specifically authorized by the Secretary of Defense. This data includes unconfirmed, fragmentary, routine or transitory material not included as background data in item e. below. Disposable. Destroy within 60 days after the termination of the civil disturbance.

e. Documents prepared by military departmental staffs, agency headquarters, or task force elements which are engaged in quelling a civil disturbance, including background data, after action reports and historical summaries. Such after action reports and historical summaries will avoid references to nonaffiliated persons and organizations to the greatest extent possible. Permanent. Offer to the National Archives within 25 years after the situation or event terminates.

3. NIS Investigations of Special Activities.

a. Protective Services. Protective details of distinguished persons. Reports and related material pertaining to protection of distinguished persons. Disposable. Destroy after 5 years unless a threat or attempted threat materializes then retain 25 years.

b. Technical Inspections and Surveys. Inspections to determine the efficiency of security measures and surveys to determine the measures necessary to protect a command, installation or site from penetration for purpose of technical surveillance. Disposable. Destroy after 5 years.

c. Special Inquiries. Information within this category pertains to matters of unique interest to the Department of the Navy, requiring the application of special investigative techniques or handling; or which because of infrequent occurrence, or for other reasons, is not specifically covered by any of the above sub-categories. Disposable. Destroy after 1 year.

d. Topical Files (titles under name of ship or station). Contains investigations when a logical suspect is not developed. If a logical suspect is developed within 5 years of the initiation date for any of those investigations, the investigative reports are pulled from the Topical File and retained with the pertinent name dossier. After 5 years the remaining Topical File material: (1) Is of no substantive value for investigative, historical or other research, (2) Is other agency originated documents and or (3) Is of the type mentioned in para a., b. and c. above. Disposable. Destroy after 5 years.

e. Reciprocal Investigative Files. Requests from other Federal agencies (FBI, CSC, DEA, STATE, etc.) for investigative assistance in areas abroad where NIS investigative resources are located.

(1) The basis for the request is a counterintelligence or criminal matter regarding individuals or organizations under the investigative jurisdiction of the requesting agency. Disposable. Retain in accordance with para 1 and 2 above (30).

(2) The basis for the request is a non-criminal or counterintelligence personnel security matter regarding DoD affiliated or non-DoD affiliated individuals. Disposable. Destroy after 1 year.

f. NIS Operations Reports. Used to initiate, control and report matters involving both counterintelligence and criminal intelligence operations and activities. Also used to report incidental information impacting on the security or discipline of commands or of interest to other law enforcement/intelligence elements. Destroy after 25 years unless earlier destruction required under section 1.b. or permanent retention authorized under section 1.b(3).