

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>71-72-01-3</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>1-9-2001</i>	
1 FROM (Agency or establishment) Department of the Navy		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2 MAJOR SUBDIVISION Chief of Naval Operations			
3 MINOR SUBDIVISION Information and Personnel Security Policy (N09N2)			
4. NAME OF PERSON WITH WHOM TO CONFER  Henry W. Persons, Jr.	4 TELEPHONE NUMBER  (202) 433-9505	DATE <i>9-18-01</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>
5. 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 <u>5</u> page(s) are not needed now for the business for 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,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>4 Jan 2001</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>James Jensen</i>		TITLE Head, Navy Directives & Records Management Branch (N09B15)
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>BACKGROUND: CNO (N09N2) is responsible for implementing the Department of Defense (DoD) Information Security Program within the Department of the Navy (DON) SECNAVINST 5510.36 is the DON's implementation. A review of the SECNAVINST revealed a number of records generated by it to be unscheduled or in need of revision or deletion. This Request for Records Disposition Authority addresses these records.</p> <p>These records are created at all levels of the Navy and Marine Corps.</p> <p>See the attached list of records descriptions and requested disposition authorities.</p> <p><i>Michael F. Brown</i> Michael F. Brown Deputy Assistant Director Information and Personnel Security</p> <p><i>Melanie Andrews</i> Melanie Andrews LCDR, USN Staff Judge Advocate</p>		

*JH 9-20-01*  
115-109

PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)  
Prescribed by NARA 36 CFR 1228

*CC to: Agency - NARA*

*ENCL (2)*

7 Item No	8 Description of Item	9 GRS or Superseded Job Citation
	Electronic Mail and Word Processing Copies	
	Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the SSICs included in this schedule. Also included are electronic copies of records created on electronic mail and word processing systems that are maintained for dissemination, revision, or updating	
	<p>a Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy</p>	
1	Destroy/delete within 180 days after the recordkeeping copy has been produced	
	<p>b Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy</p>	
2	Destroy/delete when dissemination, revision, or updating is complete	
	<u>SSIC 5500</u>	
	<u>GENERAL SECURITY RECORDS</u>	
1	No change	
2	SECURITY OFFICES GENERAL CORRESPONDENCE FILES Records of security offices relating to the operation and administration of their security functions, including security investigations, safeguards for classified and unclassified matter, and proper authorization for the movements of military and civilian personnel (Excluded are records related to continuing controversies and policy-making criteria, which are filed under SSIC 5500, para 1)	N1-NU-89-4/SSIC 5500 2
	Privacy Act NA	
	<u>DISPOSITION</u>	
3	Destroy when 2 years old	
	3 - 8 No change	
9	PLANS AND PROCEDURES RECORDS Records related to plans and procedural guidance for protecting national security	New

	<p>information and government personnel and property Accumulated at the operational level for use by activities to establish plans and procedures for protecting classified information and government personnel and property under their control (Exclude primary program records covered in SSIC 5500, para 1, as well as civil defense emergency plans under SSIC 3005 )</p> <p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>4 Destroy when canceled or superseded</p> <p><u>SSIC 5510</u></p> <p><u>INFORMATION SECURITY RECORDS</u></p> <p>1 INFORMATION SECURITY PROGRAM (ISP) RECORDS Records required by the ISP Regulation (SECNAVINST 5510 36) and not covered elsewhere</p> <p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>5 Destroy after 2 years</p> <p>2 CLASSIFIED RECORDS ACCESS FILES Records that show name, grade, and other identification of individuals authorized access to classified information and materiel Included are requests for access and the approvals, disapprovals, rosters of individuals authorized access, and similar documents</p> <p>Privacy Act N05521-1</p> <p><u>DISPOSITION</u></p> <p>a <u>Approvals</u></p> <p>6 Destroy after 2 years or on supersession or obsolescence of the authorization document or on transfer, separation, or relief of the individual concerned, whichever is earlier</p> <p>b <u>Disapprovals</u></p> <p>7 Destroy after 1 year</p> <p>3 SECURITY CONTAINER RECORD FILES Forms placed on safes, cabinets, vaults, or secure rooms containing classified documents and used as a record of entry into and checking of containers such as locking doors and windows, and activating alarms Includes forms such as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet</p> <p>Privacy Act NA</p>	<p>N1-NU-89-4/SSIC 5510 1</p> <p>NI-NU-89-4/SSIC 5570 1</p> <p>N1-NU-89-4/SSIC 5570 1/ GRS 18, item 6 (exception)</p>
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	<u>DISPOSITION</u>	
8	a <u>Form Not Involved in an Investigation</u> Destroy 1 day following the last entry on the form, except	N1-NU-89-4/SSIC 5570 2 GRS 18, item 7b (exception)
9	b <u>Form Involved in an Investigation</u> Destroy after completion of investigation	N1-NU-89-4/SSIC 5570 2a/ (see note under GRS 18, item 7)
	<u>SSIC 5511</u>	
	<u>CLASSIFIED MATERIAL CONTROL RECORDS</u>	
	1 CLASSIFIED DOCUMENT RECEIPT RECORDS Records of receipt, transfer, or issuance of classified documents and material  Privacy Act NA	
	<u>DISPOSITION</u>	
10	a <u>Top Secret</u> Retain on board Destroy after 5 years	SSIC 5511 1 GRS 18, item 2 (exception)
	3 CLASSIFIED DOCUMENTS DESTRUCTION RECORDS Records relating to the destruction of classified documents, such as destruction certificates This includes foreign government information  Privacy Act NA	
	<u>DISPOSITION</u>	
11	a <u>Records Involving US Classified Information</u>  (1) Top Secret Retain on board Destroy after 5 years	N1-NU-89-4/SSIC 5511 3 GRS 18, item 3 (exception)
	b <u>Records Involving Foreign Classified Information</u>  (1) <u>Top Secret Foreign Government Information</u>	GRS 18, item 3 (exception)
12	Destroy after 5 years  (2) <u>Secret Foreign Government Information</u>	GRS 18, item 3 (exception)
13	Destroy after 3 years	

	<p><u>SSIC 5512</u></p> <p><u>IDENTIFICATION (CREDENTIALS, TAGS, PASSES, AND PERMITS) RECORDS</u></p> <p>1 – 17 No change</p> <p>18 COURIER AUTHORIZATION RECORDS Registers or logs identifying DoD persons issued courier authorization cards and approved to escort or handcarry classified material Also includes courier authorization cards and correspondence, security briefings, and records of security briefings provided to couriers</p> <p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>a <u>Registers and Logs</u></p> <p>14 Destroy 1 year after final entry or 1 year after date of document, whichever is later</p> <p>b <u>Courier Authorization Cards</u></p> <p>15 Destroy upon expiration or retrieval, whichever is earlier</p> <p>c <u>Correspondence, Briefing and Related Records</u></p> <p>16 Destroy after 2 years</p> <p><u>SSIC 5513</u></p> <p><u>DON SECURITY CLASSIFICATION GUIDANCE RECORDS</u></p> <p>1 No change</p> <p>2 SECURITY CLASSIFICATION GUIDELINES ISSUED BY CNO (N09N2) Directives, changes, and supporting correspondence for each guide Also included is an automated database of the directives to provide standardization, centralized management, and issuance of DON security classification guides</p> <p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>a - b No change</p> <p>c <u>Electronic Directives Database Used for Centralized Management</u></p> <p>17 Destroy/delete entry when directive is superseded or cancelled</p>	<p>New</p> <p>N1-NU-97-3/SSIC 5513 2</p> <p>New</p>
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	<p><u>SSIC 5522</u></p> <p><u>INSPECTION RECORDS</u></p> <p>1 MILITARY SECURITY SURVEY AND INSPECTION PROGRAM RECORDS Reports of surveys and inspections conducted to ensure adequacy of protective and preventive measures against fire, explosion, and accidents and to safeguard information and facilities against sabotage, espionage, and unauthorized entry Includes related correspondence and training of security personnel (Exclude primary program records covered in SSIC 5500, para 1 )</p> <p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>18 Destroy after 3 years, upon conduct of the next comparable survey or inspection or upon discontinuance of facility, whichever is later</p>	<p>N1-NU-89-4/SSIC 5522 1 GRS 18, item 9 (exception)</p>
	<p><u>SSIC 5570</u></p> <p><u>SAFEGUARDING UNCLASSIFIED MATTER RECORDS</u></p> <p>1 RECORDS ACCESS FILES Records containing name, grade, and other identification of individuals authorized access to official records Included are requests for access and the approvals, rosters of individuals authorized access, and similar documents (Access records to classified information are under SSIC 5510, para 2 )</p> <p>Privacy Act N05521-1</p> <p><u>DISPOSITION</u></p> <p>19 Destroy on supersession or obsolescence of the authorization document or on transfer, separation, or relief of the individual concerned, whichever is earlier</p> <p>2 - 3 Cancelled (See SSIC 5510, paras 3 and 4 )</p>	<p>N1-NU-89-4/SSIC 5570 1</p> <p>N1-NU-89-4/SSIC 5570 1</p> <p>N1-NU-89-4/SSIC 5570 2 &amp; 3</p>

## SUPPLEMENTAL INFORMATION

1. Reference SSIC 5510, paragraph 2a (item number 6): Deviation from the disposition in GRS 18, item 6 is deemed appropriate to address additional situations that will be encountered by security offices. This disposition is based partly on one used for Record Access Files covered by SSIC 5570, paragraph 1 and approved in N1-NU-89-4.
2. Reference SSIC 5510, paragraph 3a (item number 8): Disposition is retained without change from the current disposition at SSIC 5570 2 as approved by N1-NU-89-4. Though this deviates from the disposition in GRS 18, item 7, retention of this record series for 3 months following the last entry on the form is considered excessive and unnecessary.
3. Reference SSIC 5511, paragraph 1a (item number 10): Deviation from the GRS 18, item 2 period of two years is felt appropriate and establishes a uniform disposition period for Top Secret information. Due to the sensitivity of this material, retaining Classified Document Receipt Records for five years is consistent with the ensuring information that may be of value in any investigation into the possible compromise of Top Secret material is available. It is consistent with the retention period for Top Secret Accounting and Control Files as established in GRS 18, item 5a. This period is consistent with the period for maintaining similar records for Top Secret foreign government information (FGI) established in SECNAVINST 5510.36, Department of the Navy Information Security Program, paragraph 7-7c(2).
4. Reference SSIC 5511, paragraph 3a(1) (item number 11): Same rationale for deviation from GRS 18, item 3 as provided for GRS 18, item 2 in point 3 above.
5. Reference SSIC 5511, paragraph 3b(1) (item number 12) Deviation from the GRS 18, item 3 period of two years to a period of five years is deemed appropriate. The protection of foreign government classified information is mandated by various bilateral and multilateral treaties. Retaining this information for an additional three years, especially when dealing with Top Secret information, is sound and is consistent with the period established in SECNAVINST 5510 36, paragraph 7-7c(2).
- 6 Reference SSIC 5511, paragraph 3b(2) (item number 13): Deviation from the GRS 18, item 3 period of two years to a period of three years is deemed appropriate. The protection of foreign government classified information is mandated by various bilateral and multilateral treaties. Retaining this information for an additional year is consistent with the period established in SECNAVINST 5510.36, paragraph 7-7c(3).
7. Reference SSIC 5522, paragraph 1 (item number 18): The retention period established by GRS 18, item 9 is inadequate and assumes that all subsequent inspections and surveys will take place within a three year period. The proposed revision takes this into account so that the last survey or inspection, regardless of its date, can be available regardless of when the next survey or inspection is conducted.

Request for Records Disposition Authority - Continuation

Job Number

7  
Item  
No.

8 Description of Item

9 GRS or  
Superseded Job  
Citation

<p>1</p> <p>2</p> <p>3</p>	<p>Electronic Mail and Word Processing Copies</p> <p>Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the SSICs included in this schedule. Also included are electronic copies of records created on electronic mail and word processing systems that are maintained for dissemination, revision, or updating.</p> <p>a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p>Destroy/delete when dissemination, revision, or updating is complete.</p> <p><u>SSIC 5500</u></p> <p><u>GENERAL SECURITY RECORDS</u></p> <p>1 No change</p> <p>2 SECURITY OFFICES GENERAL CORRESPONDENCE FILES. Records of security offices relating to the operation and administration of their security functions, including security investigations, safeguards for classified and unclassified matter, and proper authorization for the movements of military and civilian personnel. (Excluded are records related to continuing controversies and policy-making criteria, which are filed under SSIC 5500, para 1.)</p> <p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>Destroy when 2 years old</p> <p>3 - 8 No change</p> <p>9 PLANS AND PROCEDURES RECORDS. Records related to plans and procedural guidance for protecting national security.</p>	<p>N1-NU-89-4/SSIC 5500 2</p> <p>New</p>
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Superseded Version  
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	<p>information and government personnel and property Accumulated at the operational level for use by activities to establish plans and procedures for protecting classified information and government personnel and property under their control (Exclude primary program records covered in SSIC 5500, para 1, as well as civil defense emergency plans under SSIC 3005 )</p> <p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>4 Destroy when canceled or superseded</p> <p><u>SSIC 5510</u></p> <p><u>INFORMATION SECURITY RECORDS</u></p> <p>1 <u>INFORMATION SECURITY PROGRAM (ISP) RECORDS</u> Records required by the ISP Regulation (SECNAVINST 5510.36) and not covered elsewhere</p> <p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>5 Destroy after 2 years</p> <p>2 <u>CLASSIFIED RECORDS ACCESS FILES</u> Records that show name, grade, and other identification of individuals authorized access to classified information and materiel Included are requests for access and the approvals, disapprovals, rosters of individuals authorized access, and similar documents</p> <p>Privacy Act N05521-1</p> <p><u>DISPOSITION</u></p> <p>a <u>Approvals</u></p> <p>6 Destroy after 2 years or on supersession or obsolescence of the authorization document or on transfer, separation, or relief of the individual concerned, whichever is earlier</p> <p>b <u>Disapprovals</u></p> <p>7 Destroy after 1 year</p> <p>3 <u>SECURITY CONTAINER RECORD FILES</u> Forms placed on safes, cabinets, vaults, or secure rooms containing classified documents and used as a record of entry into and checking of containers such as locking doors and windows, and activating alarms Includes forms such as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet</p> <p>Privacy Act NA</p>	<p>N1-NU-89-4/SSIC 5510 1</p> <p>N1-NU-89-4/SSIC 5570 1</p> <p>N1-NU-89-4/SSIC 5570 1/ GRS 18, item 6 (exception)</p>
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Superseded Version

	<u>DISPOSITION</u>	
	a <u>Form Not Involved in an Investigation</u>	N1-NU-89-4/SSIC 5570 2 GRS 18, item 7b (exception)
8	Destroy 1 day following the last entry on the form, except	
	b <u>Form Involved in an Investigation</u>	N1-NU-89-4/SSIC 5570 2a/ (see note under GRS 18, item 7)
9	Destroy after completion of investigation	
	<u>SSIC 5511</u>	
	<u>CLASSIFIED MATERIAL CONTROL RECORDS</u>	
	1 <u>CLASSIFIED DOCUMENT RECEIPT RECORDS</u> Records of receipt, transfer, or issuance of classified documents and material	
	Privacy Act NA	
	<u>DISPOSITION</u>	
	a <u>Top Secret</u>	SSIC 5511 1 GRS 18, item 2 (exception)
10	Retain on board Destroy after 5 years	
	3 <u>CLASSIFIED DOCUMENTS DESTRUCTION RECORDS</u> Records relating to the destruction of classified documents, such as destruction certificates This includes foreign government information	
	Privacy Act NA	
	<u>DISPOSITION</u>	
	a. <u>Records Involving US Classified Information</u>	
	(1) Top Secret	N1-NU-89-4/SSIC 5511 3 GRS 18, item 3 (exception)
11	Retain on board Destroy after 5 years	
	c <u>Secret Foreign Government Information</u>	GRS 18, item 3 (exception)
12	Destroy after 3 years	
	<u>SSIC 5512</u>	
	<u>IDENTIFICATION (CREDENTIALS, TAGS, PASSES, AND PERMITS) RECORDS</u>	
	1 - 17 No change	
	18 <u>COURIER AUTHORIZATION RECORDS</u> Registers or logs identifying DoD persons issued courier authorization cards and	New

Superseded Version

	<p>approved to escort or handcarry classified material Also includes courier authorization cards and correspondence, security briefings, and records of security briefings provided to couriers</p> <p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>a <u>Registers and Logs</u></p>	
13	<p>Destroy 1 year after final entry or 1 year after date of document, whichever is later</p>	
	<p>b. <u>Courier Authorization Cards</u></p>	
14	<p>Destroy upon expiration or retrieval, whichever is earlier</p>	
	<p>c <u>Correspondence, Briefing and Related Records</u></p>	
15	<p>Destroy after 2 years</p>	
	<p><u>SSIC 5513</u></p> <p><u>DON SECURITY CLASSIFICATION GUIDANCE RECORDS</u></p> <p>1 No change</p> <p>2 SECURITY CLASSIFICATION GUIDELINES ISSUED BY CNO (N09N2) Directives, changes, and supporting correspondence for each guide Also included is an automated database of the directives to provide standardization, centralized management, and issuance of DON security classification guides</p> <p>Privacy Act NA</p>	<p>N1-NU-97-3/SSIC 5513 2</p>
	<p><u>DISPOSITION</u></p> <p>a - b No change</p> <p>c <u>Electronic Directives Database Used for Centralized Management</u></p>	<p>New</p>
16	<p>Destroy/delete entry when directive is superseded or cancelled</p>	
	<p><u>SSIC 5522</u></p> <p><u>INSPECTION RECORDS</u></p> <p>1 MILITARY SECURITY SURVEY AND INSPECTION PROGRAM RECORDS Reports of surveys and inspections conducted to ensure adequacy of protective and preventive measures against fire, explosion, and accidents and to safeguard information and facilities against sabotage, espionage, and unauthorized entry. Includes related correspondence and training of security personnel (Exclude primary program records covered in SSIC 5500, para 1)</p>	<p>N1-NU-89-4/SSIC 5522 1 GRS 18, item 9 (exception)</p>

Superseded Version

	<p>Privacy Act NA</p> <p><u>DISPOSITION</u></p> <p>17 Destroy after 3 years, upon conduct of the next comparable survey or inspection or upon discontinuance of facility, whichever is later</p> <p><u>SSIC 5570</u></p> <p><u>SAFEGUARDING UNCLASSIFIED MATTER RECORDS</u></p> <p>1 RECORDS ACCESS FILES Records containing name, grade, and other identification of individuals authorized access to official records Included are requests for access and the approvals, rosters of individuals authorized access, and similar documents (Access records to classified information are under SSIC 5510, para 2)</p> <p>Privacy Act N05521-1</p> <p><u>DISPOSITION</u></p> <p>18 Destroy on supersession or obsolescence of the authorization document or on transfer, separation, or relief of the individual concerned, whichever is earlier</p> <p>2 - 3 Cancelled (See SSIC 5510, paras 3 and 4)</p>	<p>NI-NU-89-4/SSIC 5570 1</p> <p>NI-NU-89-4/SSIC 5570 1</p> <p>NI-NU-89-4/SSIC 5570 2 &amp; 3</p>
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Superseded Version

## SUPPLEMENTAL INFORMATION

1. Reference SSIC 5510, paragraph 2a (item number 6) Deviation from the disposition in GRS 18, item 6 is deemed appropriate to address additional situations that will be encountered by security offices. This disposition is based partly on one used for Record Access Files covered by SSIC 5570, paragraph 1 and approved in N1-NU-89-4.
2. Reference SSIC 5510, paragraph 3a (item number 8): Disposition is retained without change from the current disposition at SSIC 5570.2 as approved by N1-NU-89-4. Though this deviates from the disposition in GRS 18, item, retention of this record series for 3 months following the last entry on the form is considered excessive and unnecessary.
- 3 Reference SSIC 5511, paragraph 1a (item number 10) Deviation from the GRS 18, item 2 period of two years is felt appropriate and establishes a uniform disposition period for Top Secret information. Due to the sensitivity of this material, retaining Classified Document Receipt Records for five years is consistent with the ensuring information that may be of value in any investigation into the possible compromise of Top Secret material is available. It is consistent with the retention period for Top Secret Accounting and Control Files as established in GRS 18, paragraph 5a. This period is consistent with the period for maintaining similar records for Top Secret foreign government information (FGI) established in SECNAVINST 5510.36, Department of the Navy Information Security Program, paragraph 7-7c(2).
4. Reference SSIC 5511, paragraph 3a(1) (item number 11): See rationale provided in paragraph 3, above.
5. Reference SSIC 5511, paragraph 3c (item number 12): Deviation from the GRS 18, item 3 period of two years to a period of three years is deemed appropriate. The protection of foreign government classified information is mandated by various bilateral and multilateral treaties. Retaining this information for an additional year is consistent with the period established in SECNAVINST 5510.36, paragraph 7-7c(3)
6. Reference SSIC 5522, paragraph 1 (item number 17). The retention period established by GRS 18, item 9 is inadequate and assumes that all subsequent inspections and surveys will take place within a three year period. The proposed revision takes this into account so that the last survey or inspection, regardless of its date, can be available regardless of when the next survey or inspection is conducted.

Superseded Version