

Request for Records Disposition Authority

Records Schedule Number: DAA-0330-2012-0002
 Schedule Status: Returned Without Action
 Agency or Establishment: Office of the Secretary of Defense
 Record Group / Scheduling Group: Records of the Office of the Secretary of Defense
 Records Schedule Applies to: Department-wide
 Schedule Subject: DoD Polygraph Examination Records
 Internal agency concurrences will be provided: No

Background Information: The items on this schedule pertain to records (digital, audio, video, and written) related to polygraph examinations, assessments, and other supporting information. This schedule is submitted to comply with the August 12, 2010, Department of Defense Instruction DoDI 5210.91, dated August 12, 2010, Subject: Polygraph Credibility Assessment (PCA) Procedures, Enclosure 9: Information Components. The schedule applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, The DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as "DoD Components"). This schedule recognizes that some DoD components or field offices may have the technical capabilities to conduct polygraph examinations and some may have support arrangements with other DoD Components for this services.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	3

GAO Approval

Outline of Records Schedule Items for DAA-0330-2012-0002

Sequence Number	
1	Polygraph and Credibility Assessment Examinations and Reports – Routine (not designated as having major significance or historical value) Disposition Authority Number: DAA-0330-2012-0002-0001
2	Polygraph and Credibility Assessment Examinations and Reports – Major Significance: Historical Value, National Security, or High-Value Individual Disposition Authority Number: DAA-0330-2012-0002-0002
3	Polygraph and Credibility Consent Forms and Audio/Visual Recordings of Examinations Disposition Authority Number: DAA-0330-2012-0002-0003

Returned Without Action

Records Schedule Items

Sequence Number	
1	<p data-bbox="365 415 1505 483">Polygraph and Credibility Assessment Examinations and Reports – Routine (not designated as having major significance or historical value)</p> <p data-bbox="365 499 1505 535">Disposition Authority Number DAA-0330-2012-0002-0001</p> <p data-bbox="365 552 1505 1129">Files contain: • Report of Examination consisting of o (1) the identity of the examinee and/or case file number; o (2) identity of the polygraph examiner of Preliminary Credibility Assessment Screening System (PCASS); o (3) requestor and approval authority for the examination; o (4) type of Polygraph and Credibility Assessment (PCA); o (5) relevant questions and PCA results; o (6) name and organization of the reviewers who provided the quality control (QC) opinion; o (7) identity of the interpreter, if used, and translations of the test questions; o (8) pretest or post-test admissions if obtained in the PCA examination process; o (9) date and time of the PCA examination; • Technical Report consisting of o (1) recordings of physiological test data; o (2) Identity of the examinee and the purpose for which the examination was conducted; o (3) test questions and results, including relevant admissions, emails, statements, doctors' notes and any related materials or documentation if determined significant for clarity, interpretation, or necessary for future review of examination results; o (4) examiner notes and observations; o (5) QC observations and instructions; o (6) if an interpreter is used, include translation of test questions; • Countermeasure records or reports.</p> <p data-bbox="365 1146 1505 1182">Final Disposition Temporary</p> <p data-bbox="365 1199 1505 1234">Item Status Withdrawn</p> <p data-bbox="365 1251 1505 1287">Is this item media neutral? Yes</p> <p data-bbox="365 1304 1505 1423">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="365 1455 1505 1491">Disposition Instruction</p> <p data-bbox="365 1507 1505 1843">Retention Period Destroy 35 years after cutoff (end of calendar year). These records are no longer needed for the purposes for which they were created. Any records derived from this information utilized for other internal, legislative, or judicial inquires will be retained in accordance with the authorized retention schedule for that record series, e.g., security investigations or violations, as long as actual Polygraph records are maintained for a minimum of 35 yrs.</p>

Retention Without Action

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Additional Information

GAO Approval Not Required

Polygraph and Credibility Assessment Examinations and Reports – Major Significance: Historical Value, National Security, or High-Value Individual

Disposition Authority Number DAA-0330-2012-0002-0002

Files consist of Polygraph and Credibility Assessment Examinations and Reports (as defined in Item 1 above) and any related video and audio recordings available at time of designation having major significance.

Final Disposition Permanent

Item Status Withdrawn

Is this an in-camera neutral? Yes

Do any of the records covered by this item currently exist in electronic format other than e-mail and word processing?

Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year.

Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Disposition is the result of new policy instituted across the Department of Defense begin Aug 2010. Policy applies from records of active duty personnel, DoD Civilians and contractors. Date span is unknown at this time and records will be transferred to the DoD Services Agencies responsible for conducting the polygraphs.

How frequently will your agency transfer these records to the National Archives? Every 1 Years

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Polygraph and Credibility Consent Forms and Audio/Visual Recordings of Examinations

Disposition Authority Number DAA-0330-2012-0002-0003

Files consist of forms (unless not collected, i.e., detainees) and routine audio/visual records made and retained in accordance with standard operating procedures

(excluding documents and audio/visual records required to clarify, interpret, or to review examination results in future, i.e., criminal investigations or inquiries, which are subject to 35 years retention in Item 1).

Final Disposition Temporary

Item Status Withdrawn

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? No

Disposition Instruction

Cutoff Instruction

Transfer to Inactive Storage Upon completion of investigations

Any records derived from this information utilized for other internal, legislative, or judicial inquiries will be retained in accordance with the authorized retention schedule for the record series, e.g., criminal or security investigations or violations.

Retention Period Delete/Destroy 90 days after resolution of examination.

Additional Information

GAO Approval Not Required

Retained Without Action

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
04/20/2012	Certify	Luz Ortiz	OSD Records Manager	Department of Defense - Office of the Secretary of Defense
12/18/2013	Return for Revision	Sebastian Welch	Appraiser	National Archives and Records Administration - Records Management Services
01/14/2014	Return Without Action	Sebastian Welch	Appraiser	National Archives and Records Administration - Records Management Services

Returned Without Action