

## Request for Records Disposition Authority

Records Schedule Number DAA-0330-2013-0019

Schedule Status Approved

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 Major Subdivision

Major Subdivision OFFICE OF THE UNDER SECRETARY OF DEFENSE (OUSD) FOR PERSONNEL AND READINESS

Minor Subdivision DEFENSE MANPOWER DATA CENTER

Schedule Subject DoD Personnel Security Adjudication Summary Records

Internal agency concurrences will be provided No

Background Information

The Joint Personnel Adjudication System (JPAS), Case Adjudication Tracking System (CATS) are the information systems designated to manage personnel security records. JPAS is a repository and centralized processing tool that provides the capability to perform comprehensive personnel security management of all DoD employees, military personnel, civilians and DoD contractors. JPAS consists of two sub-applications:

- The Joint Adjudication Management System (JAMS) - The JAMS sub-application records the eligibility determinations and unclassified investigation comments, supports the adjudication process, and automates security information records. JAMS is a system designed for the Clearance Adjudication Facilities (CAFs). CATS is the JAMS next generation system and JAMS will be decommissioned after CATS is at Full Operating Capacity (FOC).
- The Joint Clearance and Access Verification System (JCAVS) - JCAVS is used by DoD Security Officers and Industry's Facility Security Officer for the verification of security clearances, access, visits, and reporting of adverse information. It also provides the ability to update Personnel Security Information and security history. Joint Verification System (JVS) is the next generation of JCAVS and JCAVS will be decommissioned once JVS goes FOC.

The Defense Information System for Security (DISS) Family of Systems (FoS) includes CATS and JVS. The DISS FoS will replace various security clearance and suitability systems, enabling consistent standards and reciprocal recognition for all DoD clearances. The DISS program focuses on solutions for four of these reform areas:

- Validate Need – DISS is working with Office of the Director of National Intelligence (ODNI) and OPM to create a federated search capability to support reciprocity and reduce unnecessary duplicate investigation and adjudicative processes.
- Automated Records Check – DISS is developing more cost effective and timely solutions to obtain commercial and federal records to support investigations.
- Electronic Adjudication (e-Adjudication) – DISS employs technology to apply business rules and render suitability and security adjudication decisions electronically in cases with no actionable issues.
- Continuous Evaluation – Utilizing the Automated Records Check technology, records for existing cleared personnel can be analyzed more often to flag potential concerns.

Currently, JPAS (JAMS and JCAVS) and CATS are the applications that are used by the DoD and select Non-DoD agencies. JPAS and CATS are web accessible suite of information systems for personnel security, suitability, fitness, access managements, and National Security that provide a common, comprehensive medium to record and document personnel security adjudicative actions within the Department, federal agencies, and DoD contractors. The applications provide a status of investigative and adjudicative updates to trusted information providers and/or users. JVS will provide the ability for subjects to self-report required information. JPAS, CATS and JVS are also used to compile statistical data used for analyses and studies. Decentralized access is authorized at the central adjudication facilities, personnel security interfaces, armed services, DoD Component and Industry security offices with a DD254.

SYSTEM INTERFACES: System interfaces (inputs and outputs) include but are not limited to

- Defense Eligibility Enrollment Reporting System (DEERS, DoD),
- Defense Civilian Personnel Management Service (DCPMS, DoD),
- Electronic Military Personnel Record System - Program (EMPRS, USN),
- Marine Corps Total Forces System (MCTFS, USMC),
- Total Army Personnel Database – Active and Reserve (TAPDB-A/R, Army),
- Total Army Personnel Database – Guard (TAPDB-B, Army National Guard),
- Operational Data Store Enterprise (ODSE, USMC),
- Navy Accessions Security Information System (NASIS, USN),
- Bureau of Naval Personnel (BUPERS, Navy Personnel Command PERS-3),
- Military Personnel Data System (MilPDS, USAF),
- Air Force Recruiting Information Support System (AFRISS, AFRS),

- Air Force Recruiting Information Support System – Reserve (AFRISS-R, AFRC-RS),
- Office of Personnel Management, Federal Investigative Services (OPM-FIS, OPM),
- Manpower Programming and Execution System (MPES, AFMC),
- Joint Access Data System (JADS, OPNAV),
- Special Access Program Personnel Adjudication Database Enterprise (SPADE, SAF/AAZ). (GRS 20 item 2a(4))

**INPUTS:**

- a) Summary of Investigation Records: Summary of case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include 1) questionnaires, 2) summaries of reports prepared by the investigating agency, 3) records reflecting the processing of the investigation and the status of the clearance. (GRS 20 item 2a(4))
- b) Adjudication Records: Summaries of reports (prepared by the investigating agency) containing the status of the clearances and the processing of the investigation. (GRS 20 item 2a(4))
- c) Eligibilities Records: These are status files showing the current security clearance status of an individual. (GRS 20 item 2a(4))
- d) Security Violations Files: Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information which are referred to the DoJ or DoD for prosecution determination. (GRS 20 item 2a(4))

**OUTPUTS:**

- a) System Audit Records (log files of actions performed by users of the system). (GRS 24 item 6b)
- b) Statistical Data (statistical data used for analyses and studies). (GRS 20 item 4)

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

**GAO Approval**

## Outline of Records Schedule Items for DAA-0330-2013-0019

Sequence Number	
1	DoD Personnel Security Adjudication System Master Files Disposition Authority Number: DAA-0330-2013-0019-0001

## Records Schedule Items

Sequence Number	
1	<p data-bbox="365 394 1166 432"><b>DoD Personnel Security Adjudication System Master Files</b></p> <p data-bbox="365 449 1153 487">Disposition Authority Number      <b>DAA-0330-2013-0019-0001</b></p> <p data-bbox="365 504 1490 1318">This item covers the master files of the Joint Personnel Adjudication System (JPAS), Joint Adjudication Management System (JAMS), Joint Clearance and Access Verification System (JCAVS), and the Defense Information System for Security (DISS). The master files include but are not limited to information used to view and review adjudicative actions, determinations and decisions on summary investigation packages and documenting records conducted by Federal investigative organizations (e.g., U.S. Office of Personnel Management (OPM), etc.) and locator references to such investigations. Records documenting fitness determinations, HSPD-12 access, personnel security adjudicated and management process, to include an individual's Social Security Number (SSN); DoD Identifier (DoD ID); name (both, current, former and alternate names); date of birth; place of birth; country of citizenship; type of DoD affiliation; employing activity; current employment status; position sensitivity; personnel security investigative basis; status of current adjudicative action; security clearance eligibility and access status; whether eligibility determination was based on a condition, deviation from prescribed investigative standards or waiver of adjudication guidelines; reports of security-related incidents, to include issue files; suspension of eligibility and/or access; denial or revocation of eligibility and/or access; eligibility recommendations or decisions made by an appellate authority; non-disclosure execution dates; indoctrination date(s); level(s) of access granted; debriefing date(s); and reasons for debriefing; off-site visit requests; foreign travel and contacts; and self-reporting of required information.</p> <p data-bbox="365 1335 932 1373">Final Disposition                      <b>Temporary</b></p> <p data-bbox="365 1390 867 1428">Item Status                              <b>Active</b></p> <p data-bbox="365 1444 837 1482">Is this item media neutral?          <b>Yes</b></p> <p data-bbox="365 1499 837 1612">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p data-bbox="365 1629 837 1722">Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p data-bbox="365 1759 682 1797">Disposition Instruction</p> <p data-bbox="365 1814 1425 1892">Cutoff Instruction                      <b>Close case files after notification of separation/retirement of personnel.</b></p>

Retention Period	Destroy after 15 continuous years of inactivity.
Additional Information	
GAO Approval	Not Required

## 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
09/09/2013	Certify	Luz Ortiz	OSD Records Manager	Department of Defense - Office of the Secretary of Defense
01/07/2014	Return for Revision	Sebastian Welch	Appraiser	National Archives and Records Administration - Records Management Services
03/13/2014	Submit for Concurrence	Sebastian Welch	Appraiser	National Archives and Records Administration - Records Management Services
03/18/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
03/18/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
03/19/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist