

## Request for Records Disposition Authority

Records Schedule Number	DAA-0330-2014-0011
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 for Personnel and Readiness (OUSD P&R)
Minor Subdivision	Defense Manpower Data Center (DMDC)
Schedule Subject	Secure Web Fingerprint Transmission (SWFT)
Internal agency concurrences will be provided	No
Background Information	<p>Background Information: SWFT is a secure web-based system that allows submission of standard electronic fingerprints (e-fingerprints) to the Office of Personnel Management (OPM) for applicants who require an investigation for a personnel security clearance. Authorized users, such as DoD agencies or cleared DoD contractors, collect and securely transmit e-fingerprints to SWFT for subsequent transmittal to OPM. E-fingerprints received by OPM are then transmitted to the Federal Bureau of Investigation (FBI) for processing as part of the investigation. Additionally, SWFT transmits e-fingerprints for all DoD populations required to submit fingerprints as part of a background investigation to the DMDC Person Data Repository (PDR) for identity matching. SWFT information content includes name, SSN, place of birth, date of birth, and e-fingerprints.</p> <p>Only e-fingerprints that meet the acceptance criteria pre-defined by OPM or by the agency authorizing the investigation will be released to OPM. Some of the pre-defined criteria are, for example, fingerprints that are not missing the date captured; that the Submitting Office Number (SON) is correct and not missing; that the Security Office Identifier (SOI) is correct and not missing; that there is no discrepancy in the information between SWFT, JPAS, and PDR; etc.</p> <p>E-fingerprints that do not meet the acceptance criteria will not be released to OPM; instead they will be retained in the system until acceptance criteria are met. Records will be deleted, if acceptance criteria are not met, when 90 days of e-fingerprint creation have elapsed.</p>

**Sources of Data:** The sources of data for SWFT are the authorized industry sites, the Joint Personnel Adjudication System (JPAS), and the DoD Agencies.

**System Outputs:** SWFT transmits the e-fingerprints to OPM and to the DMDC Person Data Repository (PDR).

**System Documentation and Specifications:** Codebooks, record layouts, database specifications, and other system documentation. (GRS 20, Item 11a)

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-0330-2014-0011

Sequence Number	
1	<b>Secure Web Fingerprint Transmission System (SWFT) Master Files</b> Disposition Authority Number: DAA-0330-2014-0011-0001

### Records Schedule Items

Sequence Number					
1	<p><b>Secure Web Fingerprint Transmission System (SWFT) Master Files</b></p> <p>Disposition Authority Number      <b>DAA-0330-2014-0011-0001</b></p> <p><b>Secure Web Fingerprint Transmission (SWFT) is a secure web-based system that allows DoD offices to submit electronic fingerprints (efingerprints) and demographic information to DSS for applicants who require an investigation by the Office of Personnel Management (OPM) for a personnel security clearance. Master file includes but are not limited to electronic fingerprints and the corresponding demographic data; such as, name, social security number, place of birth, etc.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>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>Do any of the records covered by this item exist as structured electronic data?                            <b>Yes</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> <tr> <td><b>Administrative Instruction 15 (AI-15)</b></td> <td><b>OSD Records and Information Management Program</b></td> </tr> </table> <p>Disposition Instruction</p> <p>Retention Period                         <b>Destroy 3 year(s) after successful transfer to OPM or 4 year(s) after creation occurs, whichever is sooner</b></p> <p>Additional Information</p> <p>GAO Approval                              <b>Not Required</b></p>	Manual Citation	Manual Title	<b>Administrative Instruction 15 (AI-15)</b>	<b>OSD Records and Information Management Program</b>
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<b>Administrative Instruction 15 (AI-15)</b>	<b>OSD Records and Information Management Program</b>				

### 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
01/03/2014	Certify	Luz Ortiz	OSD Records Manager	Department of Defense - Office of the Secretary of Defense
06/17/2014	Submit for Concurrence	Sebastian Welch	Appraiser	National Archives and Records Administration - Records Management Services
06/18/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/18/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/19/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist