

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER 71-434-05-2	DATE RECEIVED 4-7-2005
1. FROM (Agency or establishment) U. S. Department of Energy		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of Counterintelligence (OCI)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION N/A			
4. NAME OF PERSON WITH WHOM TO CONFER Anthony Z. S. Bailey, Chief Information Officer for OCI	5. TELEPHONE 202-586-1721	DATE 8/16/07	ARCHIVIST OF THE UNITED STATES Allen Warrick

**6. 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 \_\_\_\_\_ page(s) are not now needed for the business of 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,

is not required;  is attached; or  has been requested.

DATE 3/12/2005	SIGNATURE OF AGENCY REPRESENTATIVE Sharon A. Evelin <i>Sharon A. Evelin</i>	TITLE Records Officer, U. S. Department of Energy
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Series 1: Program Administrative Policy and Procedures. DOE Office of Counterintelligence/Office of Nuclear Counterintelligence Administrative Correspondence, Program Policy&amp;Procedures; Admin Management/Procedures; historical CI Investigation Procedures and Foreign Intelligence Policy/Procedures</p> <p>Series 2: Public Relations and Liaisons w/Agencies. Includes records of liaisons with external and internal agencies in intelligence, law enforcement, security, Congressional/Presidential; DOE laboratories, counterintelligence field elements and NNSA to facilitate sharing intelligence information (reports, MOU, MOA).</p> <p>Series 3: Case Files and Program Specific Files. Investigative case files and program specific files used for counterintelligence including ongoing and completed case files of subject material or projects relating to each program's mission.</p> <p>Series 4: Reporting and Distribution of CI Products. Final documentation of intelligence products in the form of Periodic Reports, Trending Analyses, publications, of both internal and external liaisons such as IIR, GAO, Cox Report, Espionage Open Source Articles, Collection and Threat Publications.</p> <p>Series 5: Counterintelligence Enterprise Architecture (CI-EA) database application and Counterintelligence Analytical Research Data System (CARDS). Includes modules for the programs of Investigations, Analysis, Evaluations, Polygraph and Inspections, used as a network database tool to process classified.</p> <p>All 5 SERIES ABOVE CLASSIFIED UP TO SECRET</p>		

*All 8/16/07 copies sent to agency NWMB, NWME, NWMWA, NR*

<b>Request for Records Disposition Authority</b> (See Instructions on reverse)		<b>Leave Blank (NARA Use Only)</b>	
To: National Archives and Records Administration (NIR) Washington, DC 20408		Job Number	
1. From: (Agency or establishment) <b>U.S. Department of Energy</b>		Date Received	
2. Major Subdivision <b>Office of Counterintelligence</b>		<b>Notification to Agency</b> 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.	
3. Minor Subdivision <b>N/A</b>			
4. Name of Person with whom to confer <b>Anthony Z.S. Bailey, CIO/OCI</b>	5. Telephone (include area code) <b>202-586-1721</b>	Date	Archivist of the United States

**6. 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 \_\_\_\_\_ page(s) are not now needed for the business of 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:

is not required       is attached       has been requested

Signature of Agency Representative	Title <b>Records Officer, U.S. Department of Energy</b>	Date (mm/dd/yyyy) <b>10/25/2005</b>
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7. Item Number	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action taken (NARA Use Only)
	<p><b>This schedule applies to records regardless of physical format or media.</b></p> <p><b>See Attached Office of Counterintelligence Records Schedule, Items 1-19.</b></p>		

**OFFICE OF COUNTERINTELLIGENCE and  
OFFICE OF DEFENSE NUCLEAR COUNTERINTELLIGENCE**

**RECORDS SCHEDULE  
COUNTERINTELLIGENCE RECORDS**

**Purpose**

This schedule identifies the records generated by the Department of Energy's Counterintelligence Program Office. The Office of Counterintelligence records consist of the Department's Headquarter Program Office, its Operations Offices, National Laboratories, Area Offices, Site, Regional and Project Offices. Additionally, the Defense Nuclear Counterintelligence Program includes records of the National Nuclear Security Administration, its Operations Offices and National Laboratories. The appropriate retention and disposition of counterintelligence records are critical to:

Controlling, obtaining and maintaining the documentation necessary to maintain an efficient stockpile of intelligence and counterintelligence information is utmost in the endeavor to create, retrieve, search and share with entities within the Department of Energy, FBI, CIA, NACIC and other intelligence community agencies.

The mission of the Office of Counterintelligence is:

Conduct CI activities to protect DOE/NNSA classified and sensitive programs and information, personnel, and assets from foreign intelligence collection and international terrorist activities; and to detect and deter trusted insiders who would engage in activities on behalf of a foreign intelligence service or foreign terrorist entity.

After review, records for selected projects representing technological advancements of historical significance will be offered to the National Archives and Records Administration (NARA). National security issues shall be addressed before the transfer of the selected records occurs. All information will be transferred by the offering agency as a complete unit for each selected project.

## OFFICIAL USE ONLY

The four record series are identified in this schedule as follows:

### **Series 1: Program Administrative Policy and Procedures**

DOE Office of Counterintelligence/Office of Nuclear Counterintelligence Administrative Correspondence including Program Policy and Procedures; Administrative Management and Procedures; Historical CI Investigation Procedures and Foreign Intelligence Administration Policy and Procedures.

### **Series 2: Intelligence Community Liaisons**

Includes records of liaisons with external and internal agencies in intelligence, law enforcement, security, governmental; DOE laboratories, counterintelligence field elements and NNSA to facilitate sharing intelligence information. The records can be reports, MOA, MOU, administrative correspondence intelligence information, presentations.

### **Series 3: Case Files and Program Specific Files**

Investigative case files and program specific files used for counterintelligence including ongoing and completed case files of subject material or projects relating to each program's mission.

### **Series 4: Electronic Network System Processing**

Electronic database modules used by OCI programs such as Operations and Investigation, Analysis, Evaluations, Inspections and Polygraph Programs for classified processing.

The records within these four series are media neutral and can be classified up to Top Secret.

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Contains Circumvention of Statute  
Information. Department of Energy approval  
required prior to public release.  
Reviewed by: Claudia Williams

**Series 1: Program Administrative Policy and Procedure**

**Series Detailed Description:** DOE Office of Counterintelligence/Office of Nuclear Counterintelligence Administrative Correspondence including Program Policy and Procedures; Administrative Management and Procedures; Historical CI Investigation Procedures and Foreign Intelligence Administration Policy and Procedures.

**Item 1:** Counterintelligence Correspondence, DOE Policy, Management and Procedures, Administrative Management, Programs Administrative Records; Historical CI Investigation Procedures and Foreign Intelligence.

**Disposition:** Transfer to the National Archives when record is 25 years old after declassification review. When records to be transferred are electronic, DOE and NARA will determine, at the time of transfer, the media and format of the records to be transferred, in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at that time. Also, when records to be transferred are electronic, physical custody may be transferred to the National Archives before they are 25 years old, at the mutual agreement of DOE and NARA. **PERMANENT**

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**Item 2:** Documentation for processing and presentation of credentials and mentoring program to be used in counterintelligence investigation or inspection requirements, including to and from post assignments, appointments, letters of correspondence, and issuance and termination of credential.

**Disposition:** Cut off upon termination of requirement for use of or termination in position requiring credential. Destroy 2 years after cutoff. **TEMPORARY**

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**Series 2: Intelligence Community Liaisons**

**Series Detailed Description:** Includes records of liaisons with external and internal agencies in intelligence, law enforcement, security, governmental; DOE laboratories, counterintelligence field elements and NNSA to facilitate sharing intelligence information. The records can be reports, MOA, MOU, administrative correspondence intelligence information, presentations.

**Item 3:** Presidential Reports, external guidance, commissions and resultant action item resolutions, periodic conferences, meetings, site reviews, and requests from NNSA, field sites and DOE laboratories.

**Disposition:** Destroy 2 years after completion of all action item resolutions. **TEMPORARY**

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**Item 4:** Intelligence Assessments. Final version and related source copy of each periodic report, intelligence threat assessment, intelligence memorandum; Technical Intelligence Notes (TINS) and Special Reports; data in the Secure Intelligence Analysis Production System (SINAPS), or other products produced by DOE or produced for another organization for which DOE/OCI served as coordinator or chairperson.

**Disposition:** Transfer to the National Archives when record is 25 years old after declassification review. When records to be transferred are electronic, DOE and NARA will determine, at the time of transfer, the media and format of the records to be transferred, in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at that time. Also, when records to be transferred are electronic, physical custody may be transferred to the National Archives before they are 25 years old, at the mutual agreement of DOE and NARA. **PERMANENT**

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**Item 5:** Liaison and Outreach to Congress, external and internal agencies through councils, working groups, task force or sub work groups.

**Disposition:** Destroy when record is 15 years old. **TEMPORARY**

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**OFFICIAL USE ONLY**

**OFFICIAL USE ONLY****Series 3: Case Files and Program Specific Files**

**Series Detailed Description:** Investigative case files and program specific files used for counterintelligence including ongoing and completed case files of subject material or projects relating to each program's mission.

**Item 6:** Working Files including reports, notes, drafts, working papers and other records used, created or circulated by OCI staff in developing an intelligence threat assessment, the final case file report, intelligence publication or other product resulting from the gathered working information.

Collection of information for use as potential counterintelligence or counterterrorism value, and contact reports. Also included are the collection, publication and distribution of intelligence data including procedures, working documentation, distribution lists, intelligence threat assessment, intelligence memoranda, e-mail and reports.

Documents, submissions, substantive drafts, comments, or other records which **ARE ESSENTIAL** to the understanding of DOE/OCI's formulation and execution of policies, decisions, or programs and Requests for Information Management. (See item #10 for non-essential).

**Disposition:** Destroy when 15 years old. **TEMPORARY**

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**Item 7:** Program Products including Specific Country Information, Foreign Entities, Sensitive Technologies List, Sanctioned Entities, List CI Notes, Foreign Intelligence Threat Summaries (FITS), comprehensive assessments, counterterrorism reporting/analysis and special assessments.

**Disposition:** Use Item 4 Disposition. **PERMANENT**

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**Item 8:** Correspondence on High Risk Access and Completed Access Evaluations. Includes points of contact lists, communications with high-risk program managers and security administrators, challenges to polygraph evaluations, notifications, videotapes of polygraph tests; electronic databases and spreadsheets; Issue cases, Code of Conduct letters; and access recommendations. Also included are completed Financial Analysis case files, database records review, and reports from commercial databases (Choicepoint, Autotrak, Equifax).

**Disposition:** Destroy when 10 years old, on when two five-year polygraph exams have been completed. **TEMPORARY**

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**Item 9:** Investigative Case Files Open and Closed. Case files include inserts, correspondence both e-mail and written, threat assessment, foreign intelligence sources and indices check. Also included are special projects or case files on HEU or Nuclear project program that are not electronically included in CI-EA, but identified as part of a case.

**Disposition:** Destroy paper case files when 75 years old, unless needed longer for current business needs. **TEMPORARY**

**NOTE:** Non-electronic inserts cannot be orphaned from a case in CI-AIMS.

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**Item 10:** Intelligence Assessments. Working Files includes reports, notes, drafts, working papers and other records used, created or circulated by OCI staff in developing an intelligence threat assessment, final report, publication or other product. These submissions, notes, drafts, comments or other records are **NOT ESSENTIAL** to the understanding of DOE/OCI's formulation of policy. (See item #6 for essential).

**Disposition:** Destroy when record is 5 years old. **TEMPORARY**

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**Item 11:** OCI Inspection documentation including working papers, logistics for site inspections (travel arrangements, equipment shipping, package wrapping), and scheduling of inspection team and inspection site.

**Disposition:** Destroy when record is 2 years old. **TEMPORARY**

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**Item 12:** OCI/ODNCI Final Inspection Reports on Programs and Field Sites that include final report, findings/recommendations, responses to findings and closeout.

**Disposition:** Destroy when record is 10 years old. **TEMPORARY**

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**Item 13:** Counterintelligence/Counterterrorism Working Groups and resultant documentation, intelligence publications or policy to facilitate adhering to the OCI/ODNCI mission. This includes The CT Council, CT/WMD Working Group, Combating Terrorism Intelligence WG, Foreign Terrorism Tracking Task Force (FTTF) and various working or sub-working groups in the intelligence arena.

**Disposition:** Destroy when record is 2 years old. **TEMPORARY**

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**Item 14:** Polygraph Tests, Selection of test types, Periodic Reports, Trending Analyses, Spreadsheets and database information from CI-ACTS, CI-AIMS, CI-POLY, Scheduling Roster and logistics used to perform scheduling. Also includes lists of new and incumbent staff, contact information and scheduling calendars that facilitate processing polygraph testing.

**Disposition:** Destroy when record is 25 years old. **TEMPORARY**

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**Item 15:** Final Polygraph Test Results and associated completed forms or documentation required to request and complete a polygraph test.

**Disposition:** Destroy when record is 25 years old. **TEMPORARY**

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**Item 16:** Counterintelligence Course Outlines, Logistics for each course, Program Schedule of Classes (by title, by program), SCIO Conference Agenda and logistics, meeting minutes, member database for CI Awareness, attendee lists, Certificates of Completion all related to OCI/ODNCI training.

**Disposition:** Destroy when the record is 15 years old. **TEMPORARY**

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**Item 17:** CARDS Database Training for data input and documentation retrieval. The training documentation includes submitted requests, scheduling logistics, completion test, certificates, comments and suggestions.

**Disposition:** Destroy OCI copy when 7 years old. (Note: Record to be sent to OPF when 5 years old.) **TEMPORARY**

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**Item 18:** Documentation of polygraph test results and evaluation of Quality Control and testing processes used to facilitate performance evaluations and ensure polygraph criteria are met and adhered to as a means of evaluating staff's performance when administering polygraph testing.

**Disposition:** Destroy OCI copy when 25 years old. (Note: Record to be sent to OPF in blocks of 5 year-old-groups.) **TEMPORARY**

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**Series 4: Electronic Network System Processing**

**Series Detailed Description:** Electronic database modules used by OCI programs such as Operations and Investigation, Analysis, Evaluations, Polygraph, and Inspections Programs for classified processing.

**Item 19:** Data that is stored in relational databases where the resultant output is in the form of documents or reports from electronic databases such as CARDS, *webCARDS*, CI-AIMS, CI-POLY, CI-EVAL, IIRs, and etcetera. Also included are database modules for processing, maintaining and updating access evaluations, financial analyses and investigations.

Hosts Briefing and Debriefing of Foreign Visitors and Assignments, and etc.  
These two items include initial CI briefing and documentation into CARDS.

**Disposition:** Destroy record when 75 years old, or when system and data are superseded or replaced, or when mission requirements dictate system obsolescence, whichever is later. **TEMPORARY**