

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
Federal Emergency Management Agency (RG 311)

2. MAJOR SUBDIVISION
Administrative Support Services Division

3. MINOR SUBDIVISION
Records Management Branch

4. NAME OF PERSON WITH WHOM TO CONFER
Rick Beach

5. TELEPHONE
202-646-2632

LEAVE BLANK (NARA use only)

JOB NUMBER
NY-311-94-1

DATE RECEIVED
3-24-94

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE FOR ARCHIVIST OF THE UNITED STATES
9/19/94 James W. Moore

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: 03/09/94

SIGNATURE OF AGENCY REPRESENTATIVE: *Linda Borrer*
Linda Borrer

TITLE: Acting Chief, Records Management Branch

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p><u>Personnel Security Clearance Files.</u></p> <p>Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.</p> <p>b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.</p> <p><u>Disposition:</u></p> <p>Destroy upon notification of death or not later than 15 years after separation or transfer of employee or no later than 15 years after contract relationship expires, whichever is applicable.</p> <p><u>Volume:</u></p> <p>Estimated volume: 8 cubic feet/year</p> <p>See attachment</p>	GRS 18-22b	

Copies sent to NCF and Agency @ 9/29/94

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

JOB NO.

PAGE

7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	PAGE OF 10. ACTION TAKEN <i>(NARS USE ONLY)</i>
2	<p>Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations, that result in substantially actionable issue(s), adverse adjudication, or debarment.</p> <p><u>Disposition:</u></p> <p>Destroy upon notification of death or not later than 25 years after separation or transfer of employee or not later than 25 years after contract relationship expires, whichever is applicable.</p> <p><u>Volume:</u></p> <p>Estimated volume less than 1 cubic foot/year.</p> <p>These requested disposition authorities parallel those found in the Federal Personnel Manual, Subchapter 7(attached).</p> <p style="text-align: center;">See attachment</p>		

Personnel Security Clearance Files

Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office.

Item 1

Investigative reports and related documents created or received by FEMA for use in making security/suitability determinations.

Disposition:

Place in inactive files after notification of death, separation or transfer of employee, or expiration of contract relationship. Cut off inactive files semi-annually and transfer to Federal Record Center. Destroy 15 years after cut off date.

Volume:

Estimated volume: 8 cubic feet/year.

Item 2

Investigative reports and related documents created or received by FEMA for use in making security/suitability determinations, that result in substantially actionable issue(s), adverse adjudication, or debarment.

Disposition:

Place in inactive files after notification of death, separation or transfer of employee, or expiration of contract relationship. Cut off inactive files semi-annually and transfer to Federal Record Center. Destroy 25 years after cut off date.

Volume:

Estimated volume less than 1 cubic foot/year.

These requested disposition authorities parallel those found in the Federal Personnel Manual, Subchapter 7 (attached).

*Change agreed to by Rick Beach
over the phone.*

Mary T. Donovan 8/1/94

Subchapter 7. Program Requirements and Administration

7-1. RESPONSIBILITIES

a. **Agencies.** Heads of agencies are responsible for insuring compliance within their agencies with the requirements of this chapter and FPM chapter 731. The agency security office will maintain records of sensitivity designations and other requirements under this chapter as prescribed in appendix B.

b. **OPM.** OPM has responsibility for monitoring agency compliance with this chapter and also has primary responsibility for conducting all investigations of persons entering or employed in the competitive service (see FPM chapter 736).

7-2. SAFEGUARDING THE RIGHTS OF INDIVIDUALS

a. **General requirement.** A person being considered for any Risk Level under FPM chapter 731 or a sensitive position should have, whenever appropriate, an opportunity to explain, refute, or mitigate actionable security/suitability information developed in an investigation before being rejected or nonselected on security/suitability grounds. Otherwise, persons may be unjustly rejected or nonselected on security/suitability grounds because of mistaken identity, unfounded allegation, or because certain mitigating circumstances were not known to the prospective employing agency.

b. **Evaluation based on OPM investigation.** When an agency, as a result of information in an OPM investigation, makes an unfavorable decision, changes a tentative favorable placement or clearance decision to an unfavorable decision, or when an agency is considering more than one candidate competitively or noncompetitively, and as a result of information in an OPM investigation pertaining to conduct not directly related to job performance, makes an unfavorable decision, it must provide the subject rights as specified in subchapter 7-6.

7-3. CODING OF POSITION SENSITIVITY ON PERSONNEL DOCUMENTS

The coding of position sensitivity under this chapter is *required* on Optional Form 8, Position

Description, or equivalent agency form, an *optional* on Standard Forms 50 and 52 (see FPI Supplement 296-33). Agencies must use the following codes whenever they code position sensitivity:

<u>Sensitivity Level</u>	<u>Code*</u>
Special-Sensitive	4
Critical-Sensitive	3
Noncritical-Sensitive	2
Non-Sensitive	1

* Computer/ADP positions will also be identified by the letter "C" after the above code. (Position Risk Level Coding is described in chapter 731, 5-8)

7-4. CHECKS OF SECURITY/SUITABILITY INVESTIGATIONS INDEX (SII) AND REQUESTS FOR INVESTIGATIVE FILES

(These procedures also apply to chapter 731 positions.)

a. **Security/Suitability Investigations Index (SII).** OPM-FIPC maintains an index of all initiated personnel investigations under E.O. 10450 and other authorities. The retention schedule for this index is 15 years. In cases that result in substantially actionable issue(s), adverse adjudication, or debarment, the index is maintained for 25 years. The SII contains a record of the agency conducting the investigation; the agency requesting the investigation; the reason for subsequent dissemination of information; the date of the case; the type of background investigation conducted; the name and social security number of the subject of the investigation; and other identifying data.

b. **OPM investigative files.** OPM maintains a master file of all OPM-conducted investigations. The retention schedule for this master file is 15 years, and 25 years for investigations resulting in substantially actionable issue(s), adverse adjudication, or debarment.

c. **Request for SII search or file.** When an agency makes a request, the OPM will conduct a search of the SII and provide the requesting agency information from the index, and any investigative file as specified in subchapter 7-5. *If*