

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) Department of Justice/Drug Enforcement Administration	
2. MAJOR SUBDIVISION Office of Investigative Technology	
3. MINOR SUBDIVISION Polygraph Support Unit	
4. NAME OF PERSON WITH WHOM TO CONFER Jon W. Wicker	5. TELEPHONE 703-495-6919

LEAVE BLANK (NARA use only)	
JOB NUMBER <i>NI-170-04-1</i>	
DATE RECEIVED <i>12/15/03</i>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 <i>4-8-04</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>

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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
12/04/2003	<i>Paul J. Alexander</i> Paul Smith Alexander	Program Manager, SARR

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	FFS: 601-35 Polygraph Program Files		

c.c. Agency, NA, NAMW

Polygraph Program Files
FFS: 601-35

Program: Office of Investigative Technology

Applicability: Office of Investigative Technology

Identifying Information:

Polygraph Program Files include records documenting the findings and conclusions resulting from interpretations of polygraph examinations performed in support of investigations involving drug enforcement, employment applicants, and integrity issues. As the agency's master file, these records should also include polygraph charts, audio tapes, statements of consent, medical waivers, and other polygraph-related materials.

Specific Restrictions: Access is limited due to Privacy Act / FOI issues.

Vital Record: Yes.

Specific Legal Requirements: U.S. District Court Order: Segar v. Bell. Civil Action No. 77-0081

1. Integrity Case Files. Forms related to the performance of a polygraph and the polygraphs related to investigations by the Office of Professional Responsibility, involving criminal or civil violations of laws, departmental codes or DEA regulations, and integrity and security matters. Related records are located in the Office of Professional Responsibility under File No. 201-03 (N1-170-89-1).

Disposition: Destroy 10 years from date case was opened if closed for at least 1 year. Cases not closed after 10 years will be retained for 1 year after closing before disposition.

NOTE: Cases pertaining to GS/GM 1811 personnel (agent): Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with approved disposition.

~~2. Personnel Security Clearance Files. (GRS 18-22) Personnel security clearance case files and related indexes are maintained by the Office of Security Programs.~~

~~a. Case files document the processing of investigations regarding federal employees or applicants for federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for DEA under contract who require approval before having access to DEA facilities or to sensitive data. Questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of investigations and the status of clearances, exclusive of copies of investigative reports furnished by the investigative agency include, but are not limited to,~~

~~Polygraph Examiner's Reports of Investigation (DEA 6s). Related records are located under File No. 210-01 (GRS No. 18-22a).~~

Disposition: Destroy upon notification of death, or no later than 5 years after separation or transfer of employee, or no later than 5 years after contract relationship expires, whichever is applicable. (GRS No. 18-22a)

b. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.

Disposition: Destroy in accordance with investigative agency instructions. (GRS No. 18-22b)

c. Index to the Personnel Security Files.

Disposition. Destroy with related case files. (GRS No. 18-22c)

NOTE: Cases pertaining to GS/GM 1811 personnel (agent): Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with approved disposition.

3. Active Employment Application Files. (GRS 1-15) Documents pertaining to individuals who can be considered for appointment. Applications and related documents are included. Related records can be found under File No. 540-02, which are covered under GRS 1-15.

Disposition: Destroy upon receipt of OPM inspection report or when two years old, which ever is earlier.

4. Numbered Investigative Case Files. DEA reports of investigation concerning offenses related to violations of drug/narcotic laws and required inspections of registrant activities. Reports of Investigation and supporting documents are included. Related records can be found under File No. 601-07, which are covered under NC1-170-77-1.

Disposition:

a. Files created in 1968 and afterward:

- (1) Originating domestic offices and Investigative Records Unit, Records Management Section, will transfer closed case files when 10 years old, in 1 year groups, to Federal records center. Case files opened longer than 10 years will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever is later.
- (2) Originating foreign offices will transfer closed case files when 3 years old, in 1 year groups, to Federal records center. Case files opened longer than 3 years will be retained until closed and then transferred to Federal records center. Destroy when 25

years old (i.e. 25 years after date the file was opened) or 22 years from date of last correspondence, whichever date is later.

b. Files created prior to 1968: Originating District and Resident offices and Investigative Records unit, Records Management Section, are authorized to destroy all closed FBN case files that were opened in 1955 or earlier. Transfer closed FBN and BDAC case files opened after 1955 to Federal Records Center in calendar year 1980. Open case files will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later.

~~c. Field offices will dispose of case files originated by other District or Resident Offices according to File No. 601-12 Other Field Office Investigative Files, which is covered under N1-170-89-1.~~

5. Confidential Sources. Previously referred to as "cooperating individual" files. These documents reflect information concerning confidential sources relative to drug/narcotics offenses. Related records can be found under File No. 601-09, which are covered under NC1-170-77-1.

Disposition:

a. Unnumbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center in calendar year 1979. Active files will be retained until they become inactive and then transferred to Federal records center as indicated in paragraph b. below. Destroy in calendar year 1993 or 20 years from date of last correspondence, whichever date is later.

b. Numbered files with reporting (originating) office designator:

(1) Domestic offices will transfer inactive files (i.e., 5 years after date of last correspondence) 10 years after date the files were opened, in 1 year groups, to Federal records center. (CI files will not be sent to the center at Laguna Niguel, CA.) Offices having files still active after 10 years, will retain the files until they become inactive and forward the files to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later.

(2) Foreign offices will transfer inactive files (i.e., 2 years after date of last correspondence), 3 years from date the file was opened in 1 year groups to Federal records center. Offices having files still active after 3 years will retain the files until they become inactive and transfer the files to Federal records center. Destroy when 25 years old (i.e. 25 years from the date the file was opened) or 23 years from date of last correspondence, whichever date is later.

NOTE: The sensitivity of these files requires that they be stored in a vault or classified area of the Federal records center. These files will be sealed in records center boxes and

delivered by the DEA activity to the Federal records center, picked up and receipted for by the records center, double wrapped and sent by registered mail return receipt through USPS or forwarded by diplomatic pouch. These boxes and SF-135 will be annotated with the special handling marking "NOT TO BE OPENED BY NARA; RESTRICTED TO DEA PERSONNEL".

- c. Numbered files with another office designator: Files pertaining to cooperating individuals of another District or Resident Office may be destroyed when the last correspondence in the files is 2 years old. Prior to destruction, transfer the original copies of payment vouchers (DEA Form 103) to the office that established the cooperating individual. Also, forward copies of status reports or correspondence not previously sent to the establishing office (do not send cross-file copies of debriefing reports).

NOTE 1: Multiple years of files may be held at the field office until one cubic foot (one box) of file accumulates.

NOTE 2: Cases pertaining to GS/GM 1811 personnel (agent): Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with approved disposition.

6. Electronic mail and word processing copies: Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of records covered by other items in this schedule.

TEMPORARY. Destroy when recordkeeping copy has been generated.