

Request for Records Disposition Authority

Records Schedule Number DAA-GRS-2017-0006

Schedule Status Approved

Agency or Establishment General Records Schedules (National Archives and Records Administration)

Record Group / Scheduling Group General Records Schedules

Records Schedule applies to Government-wide

Schedule Subject General Records Schedule 5.6: Security Records

Internal agency concurrences will be provided No

Background Information This schedule covers records about protecting an organization's personnel, assets, and facilities. Activities include: security operations for protecting agency facilities, staff, and property, managing personnel security, and insider threat protection.

Excluded from this schedule are records of offices with law enforcement as the primary function or where criminal investigations are carried out by Federal criminal investigators (special agents) with law enforcement powers.

Related records are covered elsewhere in the GRS. Records about securing data and information systems are listed in GRS 3.2, Information Systems Security Records. Records about protecting and accessing information are covered in GRS 4.2, Information Access and Protection Records.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
31	0	31	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2017-0006

Sequence Number	
1	Security administrative records. Disposition Authority Number: DAA-GRS-2017-0006-0001
2	Key and card access accountability records.
2.1	Areas requiring highest level security awareness. Disposition Authority Number: DAA-GRS-2017-0006-0002
2.2	All other facility security areas. Disposition Authority Number: DAA-GRS-2017-0006-0003
3	Uniform and equipment tracking records. Disposition Authority Number: DAA-GRS-2017-0006-0004
4	Property pass records. Disposition Authority Number: DAA-GRS-2017-0006-0005
5	Records of credit card abuse and postal irregularities. Disposition Authority Number: DAA-GRS-2017-0006-0006
6	Unclaimed personal property records.
6.1	Records for property valued over \$500. Disposition Authority Number: DAA-GRS-2017-0006-0007
6.2	Records for property valued at \$500 or less. Disposition Authority Number: DAA-GRS-2017-0006-0008
7	Facility and physical security records.
7.1	Interagency Security Committee member records. Disposition Authority Number: DAA-GRS-2017-0006-0009
7.2	Facility security assessment records.
7.2.1	Areas requiring highest level security awareness. Disposition Authority Number: DAA-GRS-2017-0006-0010
7.2.2	All other facility security areas. Disposition Authority Number: DAA-GRS-2017-0006-0011
7.3	Records of routine security operations. Disposition Authority Number: DAA-GRS-2017-0006-0012
7.4	Accident and incident records. Disposition Authority Number: DAA-GRS-2017-0006-0013
7.5	Visitor processing records.
7.5.1	Areas requiring highest level security awareness. Disposition Authority Number: DAA-GRS-2017-0006-0014
7.5.2	All other facility security areas.

	Disposition Authority Number: DAA-GRS-2017-0006-0015
7.6	Personal identification credentials and cards.
7.6.1	Application and activation records. Disposition Authority Number: DAA-GRS-2017-0006-0016
7.6.2	Cards. Disposition Authority Number: DAA-GRS-2017-0006-0017
7.7	Local facility identification and card access records. Disposition Authority Number: DAA-GRS-2017-0006-0018
7.8	Sensitive Compartmented Information Facility (SCIF) accreditation records. Disposition Authority Number: DAA-GRS-2017-0006-0019
7.9	Sensitive Compartmented Information Facility (SCIF) inspection records. Disposition Authority Number: DAA-GRS-2017-0006-0020
7.10	Canine (K-9) service records. Disposition Authority Number: DAA-GRS-2017-0006-0021
8	Personnel security records.
8.1	Personnel security investigative reports.
8.1.1	Personnel suitability and eligibility investigative reports. Disposition Authority Number: DAA-GRS-2017-0006-0022
8.1.2	Reports and records created by agencies conducting investigations under delegated investigative authority. Disposition Authority Number: DAA-GRS-2017-0006-0023
8.2	Personnel security and access clearance records.
8.2.1	Records of people not issued clearances. Disposition Authority Number: DAA-GRS-2017-0006-0024
8.2.2	Records of people issued clearances. Disposition Authority Number: DAA-GRS-2017-0006-0025
8.3	Index to the personnel security case files. Disposition Authority Number: DAA-GRS-2017-0006-0026
8.4	Information security violations records. Disposition Authority Number: DAA-GRS-2017-0006-0027
9	Insider threat records.
9.1	Insider threat administrative and operations records. Disposition Authority Number: DAA-GRS-2017-0006-0028
9.2	Insider threat inquiry records. Disposition Authority Number: DAA-GRS-2017-0006-0029
9.3	Insider threat information. Disposition Authority Number: DAA-GRS-2017-0006-0030

9.4

Insider threat user activity monitoring (UAM) data.
Disposition Authority Number: DAA-GRS-2017-0006-0031

Records Schedule Items

Sequence Number					
1	<p>Security administrative records.</p> <p>Disposition Authority Number DAA-GRS-2017-0006-0001</p> <p>Records about routine facility security, protective services, and personnel security program administration. Includes: • status reports on cleared individuals and other reports • staffing level and work planning assessments, such as guard assignment records • standard operating procedures manuals</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>GRS 5.6, item 010</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation GRS 18, dated 1960, item 9 GRS 18, dated 1960, item 14/A GRS 18, dated 1960, item 14/B NC1-GRS-80-001 / 22</p> <p>Disposition Instruction</p> <p>Retention Period Destroy when 3 years old, but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>	Manual Citation	Manual Title	GRS 5.6, item 010	
Manual Citation	Manual Title				
GRS 5.6, item 010					
2	<p>Key and card access accountability records.</p> <p>Records accounting for keys and electronic access cards.</p>				
2.1	<p>Areas requiring highest level security awareness.</p> <p>Disposition Authority Number DAA-GRS-2017-0006-0002</p>				

Includes areas designated by the Interagency Security Committee as Facility Security Level V.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 020	

GRS or Superseded Authority Citation GRS 18, dated 1960, item 17 in part

Disposition Instruction

Retention Period Destroy 3 years after return of key, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

2.2

All other facility security areas.

Disposition Authority Number DAA-GRS-2017-0006-0003

Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title

GRS 5.6, item 021	
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GRS or Superseded Authority Citation **GRS 18, dated 1960, item 17 in part**

Disposition Instruction

Retention Period **Destroy 6 months after return of key, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Uniform and equipment tracking records.

Disposition Authority Number **DAA-GRS-2017-0006-0004**

Records tracking uniforms and equipment issued to security personnel, including:
 • firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.) • communication devices issued to security personnel such as mobile radios and walkie-talkies • body armor such as bullet-proof vests • police baton and holder • handcuffs and keys

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 030	

GRS or Superseded Authority Citation **GRS 18, dated 1960, item 20/D**

Disposition Instruction

Retention Period **Destroy 3 months after return of equipment, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

3

4

Property pass records.

Disposition Authority Number **DAA-GRS-2017-0006-0005**

Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 040	

GRS or Superseded Authority Citation **GRS 18, dated 1960, item 13**

Disposition Instruction

Retention Period **Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

5

Records of credit card abuse and postal irregularities.

Disposition Authority Number **DAA-GRS-2017-0006-0006**

Records about irregularities in handling mail and improper use or misuse of telephone calling cards and Government charge or purchase cards. Includes: • postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail • semi-annual reports on Government charge card violations Exclusion: Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 050	

GRS or Superseded Authority Citation **NC1-064-77-009 / 8 in part**

Disposition Instruction

Retention Period **Destroy 3 years after completion of investigation or when 3 years old, whichever is later, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

6

Unclaimed personal property records. Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes: • lost-and-found logs and release forms • loss statements • receipts • reports

6.1

Records for property valued over \$500.

Disposition Authority Number **DAA-GRS-2017-0006-0007**

Legal Citation: 41 CFR 102-41.130

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 060	

6.2

GRS or Superseded Authority Citation GRS 18, dated 1960, item 16/A in part
GRS 18, dated 1960, item 16/B in part

Disposition Instruction

Retention Period Destroy when 3 years old or 3 years after the date title to the property vests in the Government, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Records for property valued at \$500 or less.

Disposition Authority Number DAA-GRS-2017-0006-0008

Legal citation: 41 CFR 102-41.130

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 061	

7

7.1

GRS or Superseded Authority Citation GRS 18, dated 1960, item 16/A in part
GRS 18, dated 1960, item 16/B in part

Disposition Instruction

Retention Period Destroy 30 days after the property is found, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Facility and physical security records.

Interagency Security Committee member records.

Disposition Authority Number **DAA-GRS-2017-0006-0009**

Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes: • agendas • meeting minutes • best practice and standards documents • funding documents for security countermeasures Exclusion: Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 070	

Disposition Instruction

Retention Period **Destroy when 10 years old, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

7.2

Facility security assessment records. Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes: • facility notes • inspector notes and reports • vulnerability assessments

7.2.1

Areas requiring highest level security awareness.

Disposition Authority Number **DAA-GRS-2017-0006-0010**

Includes areas designated by the Interagency Security Committee as Facility Security Level V.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**
 Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 080	

GRS or Superseded Authority Citation **GRS 18, dated 1960, item 10 in part
GRS 18, dated 1960, item 11 in part**

Disposition Instruction

Retention Period **Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

All other facility security areas.

Disposition Authority Number **DAA-GRS-2017-0006-0011**

Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 081	

7.2.2

GRS or Superseded Authority Citation GRS 18, dated 1960, item 10 in part
GRS 18, dated 1960, item 11 in part

Disposition Instruction

Retention Period Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

7.3

Records of routine security operations.

Disposition Authority Number DAA-GRS-2017-0006-0012

Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:

- control center key or code records
- registers of patrol and alarm services
- service reports on interruptions and tests
- emergency alarm contact call lists
- temporary identification cards
- correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date
- round and perimeter check reports, including facility patrol tour data
- surveillance records or recordings of protective mobile radio transmissions or video surveillance recordings or closed circuit television (CCTV) records
- door slip summaries

Exclusion: Law enforcement officer-related records, which are covered by agency-specific schedules. Note: Records of accidents and incidents are covered under item 100 and records of visitor processing are covered under items 110 and 111.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 090	

GRS or Superseded Authority Citation GRS 18, dated 1960, item 19/A
GRS 18, dated 1960, item 19/B

GRS 18, dated 1960, item 20/A
GRS 18, dated 1960, item 20/B
GRS 18, dated 1960, item 20/C
N1-GRS-98-002 / 37
N1-GRS-98-002 / 39

Disposition Instruction

Retention Period Destroy when 30 days old, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Accident and incident records.

Disposition Authority Number DAA-GRS-2017-0006-0013

Records documenting accidents and incidents occurring on, in, or at Government-owned or -leased facilities, vehicles (land, water, and air), and property used by Federal agencies. Includes: • statements of witnesses • warning notices • records about arrests, commitments, and traffic violations • accident and incident reports • law enforcement agency requests for information
Exclusion 1: Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by Federal agencies, including leased aircraft used by Federal agencies. The FAA and NTSB cover these records under agency-specific schedules.
Exclusion 2: Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records.
Exclusion 3: Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 100	

7.4

	<p>GRS or Superseded Authority Citation</p> <p>Disposition Instruction</p> <p>Retention Period</p> <p>Additional Information</p> <p>GAO Approval</p> <p>7.5 Visitor processing records.</p> <p>7.5.1 Areas requiring highest level security awareness.</p> <p>Disposition Authority Number</p> <p>Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p> <p>Final Disposition</p> <p>Item Status</p> <p>Is this item media neutral?</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</p> <p>Do any of the records covered by this item exist as structured electronic data?</p> <table border="1" data-bbox="376 1621 1513 1725"> <thead> <tr> <th data-bbox="376 1621 945 1670">Manual Citation</th> <th data-bbox="945 1621 1513 1670">Manual Title</th> </tr> </thead> <tbody> <tr> <td data-bbox="376 1670 945 1725">GRS 5.6, item 110</td> <td data-bbox="945 1670 1513 1725"></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation</p> <p>Disposition Instruction</p>	Manual Citation	Manual Title	GRS 5.6, item 110		<p>N1-GRS-04-006 / 5</p> <p>GRS 18, dated 1960, item 12</p> <p>GRS 18, dated 1960, item 15/A</p> <p>GRS 18, dated 1960, item 15/B</p> <p>GRS 18, dated 1960, item 15/C</p> <p>Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p> <p>Not Required</p> <p>DAA-GRS-2017-0006-0014</p> <p>Temporary</p> <p>Active</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>GRS 18, dated 1960, item 18</p> <p>GRS 18, dated 1960, item 21/A in part</p> <p>GRS 18, dated 1960, item 21/B in part</p>
Manual Citation	Manual Title					
GRS 5.6, item 110						

7.5.2

Retention Period Destroy when 5 years old, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

All other facility security areas.

Disposition Authority Number DAA-GRS-2017-0006-0015

Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 111	

GRS or Superseded Authority Citation GRS 18, dated 1960, item 18
GRS 18, dated 1960, item 21/A in part
GRS 18, dated 1960, item 21/B in part

Disposition Instruction

Retention Period Destroy when 2 years old, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

7.6

Personal identification credentials and cards.
Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials. Exclusion: Records of certain

7.6.1

classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.

Application and activation records.

Disposition Authority Number **DAA-GRS-2017-0006-0016**

Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes: • application for identification card • a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected • lost or stolen credential documentation or police report Note: GRS 3.2, Information Systems Security Records, covers applications for access to information systems.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 120	

GRS or Superseded Authority Citation **GRS 11, dated 1952, item 4/A in part
GRS 11, dated 1952, item 4/B in part
N1-GRS-98-002 / 33 in part**

Disposition Instruction

Retention Period **Destroy mandatory and optional data elements housed in the agency identity management system and printed on the identification card 6 years after terminating an employee or contractor's employment, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

7.6.2

Cards.

Disposition Authority Number **DAA-GRS-2017-0006-0017**

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 121	

Disposition Instruction

Retention Period Destroy after expiration, confiscation, or return

Additional Information

GAO Approval Not Required

7.7

Local facility identification and card access records.

Disposition Authority Number DAA-GRS-2017-0006-0018

Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes: • temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance • supplemental cards issued to access elevators • personnel identification records stored in an identity management system for temporary card issuance • parking permits

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 130	

GRS or Superseded Authority Citation GRS 11, dated 1952, item 4/A in part
GRS 11, dated 1952, item 4/B in part
N1-GRS-98-002 / 33 in part

Disposition Instruction

Retention Period Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Sensitive Compartmented Information Facility (SCIF) accreditation records.

Disposition Authority Number DAA-GRS-2017-0006-0019

Physical security plans for SCIF construction, expansion, or modification. Includes:
• initial Fixed Facility Checklist • pre-accreditation inspection report • Construction Security Plan (CSP) • TEMPEST Checklist

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 140	

Disposition Instruction

7.8

7.9

Retention Period Destroy when SCIF receives final accreditation, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Sensitive Compartmented Information Facility (SCIF) inspection records.

Disposition Authority Number DAA-GRS-2017-0006-0020

Inspection records required by Intelligence Community Directive (ICD) 705. Includes: • Fixed Facility Checklists • accreditation authorization documents • inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation • operating procedures • Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters • memoranda of agreements (MOAs) • Emergency Action Plans • copies of any waivers granted by the Cognizant Security Authority (CSA) • co-utilization approvals

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 150	

7.10

Disposition Instruction

Retention Period Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Canine (K-9) service records.

Disposition Authority Number DAA-GRS-2017-0006-0021

Records documenting acquisition, training, activities, care, and retirement of canine partners. Includes: • acquisition records • breeder and lineage records • vaccination and medical history records • microchip number and identification records • deficiencies/remedies • training courses taken and resulting grades and certifications • initial report of positive detections and bite incidents • end-of-service documentation (through retirement or death)

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 160	

Disposition Instruction

Retention Period Destroy when superseded or obsolete, or 3 years after dog is released from service, whichever is sooner, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

8 Personnel security records.

8.1 Personnel security investigative reports. Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.

8.1.1 Personnel suitability and eligibility investigative reports.

Disposition Authority Number DAA-GRS-2017-0006-0022

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

8.1.2

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 170	

GRS or Superseded Authority Citation **NC1-GRS-80-001 / 23/B**

Disposition Instruction

Retention Period **Destroy in accordance with the investigating agency instruction.**

Additional Information

GAO Approval **Not Required**

Reports and records created by agencies conducting investigations under delegated investigative authority.

Disposition Authority Number **DAA-GRS-2017-0006-0023**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 171	

Disposition Instruction

Retention Period **Destroy in accordance with delegated authority agreement or memorandum of understanding.**

8.2	<p>Additional Information</p> <p>GAO Approval Not Required</p> <p>Personnel security and access clearance records. Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.</p>				
8.2.1	<p>Records of people not issued clearances.</p> <p>Disposition Authority Number DAA-GRS-2017-0006-0024</p> <p>Includes case files of applicants not hired. Exclusion: Copies of investigative reports covered in items 170 and 171.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" data-bbox="365 1293 1502 1400"> <thead> <tr> <th data-bbox="365 1293 933 1344">Manual Citation</th> <th data-bbox="933 1293 1502 1344">Manual Title</th> </tr> </thead> <tbody> <tr> <td data-bbox="365 1344 933 1400">GRS 5.6, item 180</td> <td data-bbox="933 1344 1502 1400"></td> </tr> </tbody> </table>	Manual Citation	Manual Title	GRS 5.6, item 180	
Manual Citation	Manual Title				
GRS 5.6, item 180					
8.2.2	<p>Disposition Instruction</p> <p>Retention Period Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> <p>Records of people issued clearances.</p> <p>Disposition Authority Number DAA-GRS-2017-0006-0025</p> <p>Exclusion: Copies of investigative reports covered in items 170 and 171.</p>				

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 181	

GRS or Superseded Authority Citation NC1-GRS-80-001 / 23/A

Disposition Instruction

Retention Period Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Index to the personnel security case files.

Disposition Authority Number DAA-GRS-2017-0006-0026

Lists or reports showing the current security clearance status of individuals.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 190	

8.3

8.4

GRS or Superseded Authority Citation NC1-GRS-80-001 / 22/C
NC1-GRS-80-001 / 24

Disposition Instruction

Retention Period Destroy when superseded or obsolete.

Additional Information

GAO Approval Not Required

Information security violations records.

Disposition Authority Number DAA-GRS-2017-0006-0027

Case files about investigating alleged violations of executive orders, laws, or agency regulations on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products. Exclusion 1: Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records. Exclusion 2: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 200	

GRS or Superseded Authority Citation NC1-GRS-81-008 / 1/A
N1-GRS-98-002 / 31

Disposition Instruction

Retention Period Destroy 5 years after close of case or final action, whichever occurs sooner, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

9

Insider threat records.

9.1

Insider threat administrative and operations records.

Disposition Authority Number **DAA-GRS-2017-0006-0028**

Records about insider threat program and program activities. Includes: •
correspondence related to data gathering • briefing materials and presentations •
status reports • procedures, operational manuals, and related development records
• implementation guidance • periodic inventory of all information, files, and systems
owned • plans or directives and supporting documentation, such as: o independent
and self-assessments o corrective action plans o evaluative reports Note: GRS 2.6,
Employee Training Records, covers records on mandatory employee training about
insider threats.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered
by this item currently exist in
electronic format(s) other than e-
mail and word processing? **Yes**

Do any of the records covered
by this item exist as structured
electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 210	

Disposition Instruction

Retention Period **Destroy when 7 years old, but longer retention is
authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

9.2

Insider threat inquiry records.

Disposition Authority Number **DAA-GRS-2017-0006-0029**

**Records about insider threat program inquiries initiated or triggered due to
derogatory information or occurrence of an anomalous incident. Includes initiated
and final reports, referrals, and associated data sets. Exclusion: Records of any
subsequent investigations are covered under agency-specific schedules, such as
Office of the Inspector General schedules.**

Final Disposition **Temporary**

Item Status **Active**
 Is this item media neutral? **Yes**
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**
 Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 220	

Disposition Instruction

Retention Period **Destroy 25 years after close of inquiry, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

9.3

Insider threat information.

Disposition Authority Number **DAA-GRS-2017-0006-0030**

Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to: • Counterintelligence and security information o personnel security files o polygraph examination reports o facility access records, including visitor records o security violation files o travel records o foreign contact reports o financial disclosure filings o referral records o intelligence records • Information assurance information o personnel usernames and aliases o levels of network access o levels of physical access o enterprise audit data which is user attributable o unauthorized use of removable media o print logs • Human resources information o personnel files o payroll and voucher files o outside work and activities requests o disciplinary files o personal contact records o medical records/data • Investigatory and law enforcement information o statements of complainants, informants, suspects, and witnesses o agency, bureau, or department data • Public information o court records o private industry data o personal biographical and identification data, including U.S. Government name check data o generic open source and social media data Exclusion: Case files of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 230	

Disposition Instruction

Retention Period **Destroy when 25 years old, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Insider threat user activity monitoring (UAM) data.

Disposition Authority Number **DAA-GRS-2017-0006-0031**

User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to: • identify and evaluate anomalous activity involving National Security Systems (NSS) • identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders • support authorized inquiries and investigations
Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules. **Legal authority:** CNSSD No. 504, 4 February 2014

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 240	

9.4

Disposition Instruction

Retention Period

Destroy no sooner than 5 years after inquiry has been opened, but longer retention is authorized if required for business use.

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
02/02/2017	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/18/2017	Submit for Concurrence	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/31/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist