

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See Instructions on reverse)

LEAVE BLANK	
JOB NO	
<i>NCI-146-84-4</i>	
DATE RECEIVED	
<i>6-29-84</i>	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
<i>9-6-84</i> Date	<i>Robert M. ...</i> Archivist of the United States

TO **GENERAL SERVICES ADMINISTRATION,
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
U. S. Office of Personnel Management

2. MAJOR SUBDIVISION
Information Management Division

3. MINOR SUBDIVISION
Information Systems Plans and Policies Branch

4. NAME OF PERSON WITH WHOM TO CONFER
Charles R. Chesek

5. TEL EXT
632-7714

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE <i>4/16/84</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>William C. Duffy</i> William C. Duffy	E. TITLE Chief, Information Systems Plans and Policies Branch
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	Amend the Investigations (INV) section of Administrative Manual Supplement 44-3, Disposition of Records, as per attached.		<i>Entire</i>

INVESTIGATIONS

This grouping of records consists of documents relating to the Government-wide investigative program.

Item No.	Title and Description of Records	Disposition
1.	Investigative Case Files.	
	a. Master file of investigative case files maintained at the OPM-NACI Center and the Washington National Records Center.	
	(1) When paper copy serves as the record copy.	Break closed cases annually. (a) Destroy when 25 years old if case resulted in loyalty or otherwise substantially actionable issue(s), adverse adjudication or debarment. (b) Destroy all other cases when 15 years old.
	(2) When microfilm serves as the record copy.	Break closed cases annually. Destroy paper record upon microfilming. (a) Destroy when 25 years old if case resulted in loyalty or otherwise substantially actionable issue(s), adverse adjudication or debarment. (b) Destroy all other cases when 15 years old.
	b. Copies of reports, related papers, and investigator notes retained in Regional Personnel Investigations Division (PID), and Investigations Washington Division.	Break and destroy closed copies after 3 months.
	c. Copies of origin cases, participating PID cases, spot checks, personal confidential inquiries, personal record searches, and all other special types of investigative cases.	
	e. Files closed "Processed."	Break and destroy closed reports after 3 months.
2.	Security Investigations Index (SII), OPM-NACI Center Index to personnel investigations.	(a) Destroy when 25 years old if case resulted in loyalty or otherwise substantially actionable issue(s), adverse adjudication or debarment. (b) Destroy records on all other cases when 15 years old.

Item No.	Title and Description of Records	Disposition
3.	Investigations Case Control and Locator Files, and Index to pending and recently closed investigations.	Break closed cases annually. Destroy 1 year after break.
	a. National Office (ORI)	
	b. Investigations Washington Division and Regional R/D.	Break and destroy closed cards after 3 months.
4.	Adjudication File; file containing materials on adjudicative actions.	Break annually. Destroy 3 years after break.
5.	ORI Form 2700, or equivalent, Daily Work Report of Investigator.	Break quarterly. Destroy no later than 1 year after break.
6.	Personnel Investigations Program evaluation reports.	Break annually. Destroy after 3 years if there is a succeeding report.
7.	Appraisal reports of agency security/suitability investigation programs.	Place in inactive file on receipt of succeeding report. Break inactive file annually. Destroy 10 years after break. If there is no succeeding report, destroy 10 years from date of report.

COMPARATIVE ANALYSIS OF CURRENT AND PROPOSED VERSIONS OF INVESTIGATIONS SECTION OF OPM RECORDS MANUAL

<u>New Item Number</u>	<u>Old Item Number</u>	<u>Descriptive Information</u>
1a	1a	<u>Investigative Case Files / Master File.</u> These are the record copies of closed investigative case files generated by OPM. The disposition standard has been rewritten to provide a longer retention period for records relating to cases involving loyalty or otherwise substantially actionable issues as defined in OPM's recently revised FPM chapters on personnel security and suitability, adverse adjudication, and debarment. <u>The new retention periods are not applicable to the collection of oversize personnel security investigative case files stored at the Washington National Records Center (WNRC) and appraised in 1982 as warranting permanent retention in the National Archives.</u> The proposed disposition standards will better satisfy the Government's administrative and legal needs for the records and protect individual rights. The proposed standards also satisfy the concerns expressed by the Senate Judiciary Subcommittee on Security and Terrorism for adequate documentation of OPM's investigations program. (Most of the files dated before 1981 are presently stored at WNRC. More recent case files have been microfilmed and stored at the OPM-NACI Center at Boyers, Pa.)
	1c	Old item 1c (closed bar and flag case files resulting in debarment and flagging) is consolidated with new item 1a as a 25-year record.
1b	1b	<u>Investigative Case Files / Copies retained in Regional Personnel Investigative Division and Investigations Washington Division.</u> These are extra copies of the master file. The series description of old item 1b has been consolidated into one paragraph. No change has been made in the disposition standard.
1c	2a	<u>Investigative Case Files / Files closed "Processed".</u> New item 1c is the same as the previously-approved old item 2a.
2	3	<u>Security Investigations Index.</u> This index is

maintained by the OPM-NACI Center at Boyers, Pa. to facilitate and permit access to the master file of closed investigative case files (item 1a above). The disposition standard has been changed to conform with the new standard for the related case files.

- 3 4 Investigations Case Control and Locator Files. These are indexes maintained by operating offices for active or recently closed investigations. Access to closed case files is ensured through long-term maintenance of the security investigations index (item 2 above). No changes have been made in the series description or disposition standard.
- 4 11 Adjudication File. These materials consist of records not warranting the establishment of a master investigative case file. Old items 11, 12 and 13 have been absorbed in this new item. The disposition standard has been lengthened from 1 to 3 years to accommodate OPM's administrative needs.
- 5 15 OPM Form 2799 / Daily Work Report of Investigator. No changes have been made in the series description or disposition standard.
- 6 8 Personnel Investigation Program evaluation reports. Regional Office evaluation reports (old item 8) have been absorbed in new item 6. There is no significant change in the disposition standard.
- 7 17 Appraisal reports of agency security / suitability investigation programs. This is old item 17 renumbered, with only minor changes in the series description and no changes in the disposition standard.

The following items have been deleted:

Old item 5 (desk case control file) - These records are covered by GRS 23, item 5.

Old item 18 (copies of correspondence generated in connection with loyalty conversions and agency determinations made in connection with personnel investigations) - This is nonrecord material.

Old items 2b, 6, 7, 9, 10, 14, 16, and 19 were previously deleted pursuant to NCl-146-81-1.

DISPOSAL SCHEDULE OPM/CSC INVESTIGATIVE FILES

(Subject to concurrence of Senate Subcommittee on Security and Terrorism on destruction of listed files)

<u>DATE</u>	<u>FILE NUMBER(S)</u> <u>(1st 2 digits)</u>	<u>ACCESSION</u> <u>NUMBERS</u>
Immediately	Alpha (not including "oversized" files)	146-61A200
April 1985	00	146-66A317
	01	146-67A631
	02	146-68A18
	03	146-69A101
	04	146-70A1958
	05	146-72A4267
	06	146-74-001
	07	146-74-002
	08	146-74-003
	09	146-77-001
November 1986	10	146-77-002
October 1988 (includes period 10/71-9/73)	11	146-80-002
April 1990 (includes period 10/73-3/75)	12	146-80-002
November 1991	13	146-80-002
November 1992	14	146-80-002
November 1993	15	146-80-002
November 1994	16	146-80-002
November 1995	17	146-80-002
November 1996	18	146-80-002