

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-NU-98-002**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/4/2024

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

1

2/A-B

2/J/3

3/A

4/A/1

5/A/2-3

5/B/2

7/A/1/A

7/C

8/A

9/B/1

9/C

9/D/4/B

13/A/2

14/A

15/B

15/C

16/C/3

18/A-B

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

All other items were superseded by DAA-NU-2015-0003 or DAA-NU-2015-0005 except for:

3/B/1/A and B were superseded by N1-NU-07-004 / 1;

7/B was superseded by N1-NU-06-001 / 1;

8/B was superseded by N1-NU-07-001 / 1/B;

9/A/3 was superseded by N1-NU-09-002 / 2;

9/B/3 was superseded by N1-NU-09-002 / 3;

16/A was superseded by N1-NU-07-008 / 1;

16/C/1-2 were superseded by N1-NU-07-008 / 2-3;

9/D/5 was superseded by N1-NU-07-005 / 1;

9/C/1 was superseded by N1-NU-01-002 / 3;

16/B and 16/D were made obsolete per agency on N1-NU-07-008.

Item 3850/2/C/1 was superseded by DAA-NU-2021-0002-0009

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <b>NI-NU-98-2</b>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <b>10-6-97</b>	
1 FROM (Agency or establishment)  Department of the Navy		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION  Naval Criminal Investigative Service			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER  Henry W Persons, Jr (NCIS-27D)	5 TELEPHONE  (202) 433-9505	DATE <b>6-6-01</b>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 <del>23</del> <sup>233</sup> 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,  <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <b>9/22/97</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Barbara Norris		TITLE Head, Navy 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)
	<p>BACKGROUND Naval Criminal Investigative Service (NCIS) records include those non-combat counterintelligence, criminal investigative and operational activities that are undertaken in the execution of the NCIS mission. NCIS also is responsible for security and law enforcement records policy governing base and local security offices subject to NCIS policy guidance.</p> <p>This submission reorganizes record series and disposition guidelines under the appropriate SSIC number consistent with the functional area. Included are some records created by other Department of the Navy (DON) law enforcement activities that interface with NCIS. Also addressed is the maintenance of records in media other than the paper copy. Though not specifically addressed, temporary records may also be converted to media other than paper with the paper or other media record copy being destroyed after verification that the record copy information has been fully and accurately converted.</p> <p>Records described on this form that are microformed or converted to an electronic or optical image will be processed in accordance with the standards set forth in 36 CFR 1230 and 1234.</p>		

(Page 1a)	<p data-bbox="315 214 700 240">Electronic Mail and Word Processing Copies</p> <p data-bbox="315 263 963 412">Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the SSICs included in NARA disposition job no N1-NU-98-2 Also included are electronic copies of records created on electronic mail and word processing systems that are maintained for dissemination, revision, or updating</p> <p data-bbox="315 438 948 563">a. Copies that have no further administrative value after the recordkeeping copy is made Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy</p> <p data-bbox="315 587 906 634">Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p data-bbox="315 661 872 712">b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy</p> <p data-bbox="315 738 901 763">Destroy/delete when dissemination, revision, or updating is complete</p> <p data-bbox="315 832 931 1023">[Job amended and expanded per H. Persons by R. Wlone, 4-24-2000]</p>	New	
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REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 2 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>3850</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

SSIC 3850COUNTERINTELLIGENCE RECORDS

1. 1 COUNTERINTELLIGENCE (CI) FILES. Working files containing information on individuals, companies, associations, and other collective groups of individuals that may be involved in hostile foreign intelligence activities. Exclude investigative and other Naval Criminal Investigative Service (NCIS) records filed under SSIC 3850, para 2 of this instruction.

N1-NU-89-4/SSIC  
3850/1

DISPOSITION: Transfer to NCIS upon initiation of investigation, otherwise destroy when 10 years old.

2. 2. NCIS COUNTERINTELLIGENCE RECORDS Consists of information on non-combat activities threatening the security or involving the disruption or subversion of DoD military and civilian personnel, functions, activities, installations, information, communications, equipment, and supplies; counterintelligence operational material, and investigative and informational data documenting other types of investigations or activities consistent with NCIS's mission.

- 2a. a. Counterintelligence Investigations/Reports of a Routine Nature. Reports of CI investigations (including requests for and results of polygraph and forensic laboratory examinations, technical investigative techniques such as oral, wire and electronic intercepts, copies of evidence custody documents and other related material), informational reports and special inquiries into actual, potential or suspected violations of laws, regulations, and directives (excluding investigations covered under SSIC 5580, paras. 4a-b) and defections by DON personnel. Also includes security violations, to include investigations that reveal compromise, but not espionage, and reports and investigations of subversion and espionage resolved favorably.

N1-NU-89-4/SSIC  
5527/1a(3)

Privacy Act: N05520-4

DISPOSITION

- (1) Case files.

Cut off at case closure. Destroy 25 years after the date of the last action *case closure.*

- (2) Other copies.

Destroy 1 year after case closure, *or when no longer needed, whichever is earlier.* *Early destruction is authorized if records are no longer needed.*

New

- 2b. b. Major CI Investigations. Investigations of actual, potential or suspected espionage, subversion, sabotage, treason, terrorism, defections by DON personnel or other major investigations or special inquiries of a counterintelligence nature. Includes requests for and results of polygraph

NC1-330-76-1/1a(3)  
and N1-NU-89-4/SSIC  
5527/1a(4)

[3850]

<p>2b (page 2a)</p>	<p>b <u>Major CI Investigations</u> Investigations of actual, potential or suspected espionage, subversion, sabotage, treason, terrorism, defections by DON personnel involving collaboration or security issues or other major investigations or special inquiries of a counterintelligence nature Includes requests for and results of polygraph examinations, forensic laboratory examinations, technical investigative techniques such as oral, wire and electronic intercepts, copies of evidence custody documents and other related material</p> <p>Privacy Act N05520-2</p> <p><u>DISPOSITION</u></p> <p>(1) Case files</p> <p>(a) Paper records</p> <p>PERMANENT Cut off at case closure Transfer to NCIS Records Management Division If space is not available, transfer to WNRC Transfer to National Archives 50 years after case closure</p> <p>(b) Paper copy records that have been converted to microform</p> <p>1 Paper copy Destroy upon verification that the record copy information has been fully and accurately converted to microform</p> <p>2 Microform copy PERMANENT NCIS will convert microform images to a medium (paper, magnetic tape, 3480 class tape cartridge or any other medium) and a format that meet the standards specified in Subchapter B of 36 CFR Chapter XII before the transfer of the records to the National Archives' legal custody, which will take place 50 years after case closure Prior to the transfer National Archives and NCIS representatives will determine the medium and format in which records will be transferred</p> <p>(c) Paper copy and microform records that have been converted to electronic/optical images</p> <p>1 Paper copy and microform image copy Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical images</p> <p>2 Electronic/optical image copy PERMANENT Transfer to the National Archives 50 years after case closure At the time of transfer, NARA and NCIS will determine medium and format in which records will be transferred as well as their arrangement Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at that time If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform</p> <p>Volume on hand 100 cubic feet (est) Annual accumulation 10 cubic foot (est)</p> <p>(2) Other copies</p> <p>Destroy 1 year after case closure or, if extended retention is required, when no longer needed</p>	<p>NC1-330-76-1a(3) and N1-NU-89-4/SSIC 5527/1a(4)</p>	<p>New</p>
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REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 3 OF 26
7 Item NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>3850</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

~~examinations, forensic laboratory examinations, technical investigative techniques such as oral, wire and electronic intercepts, copies of evidence custody documents and other related material~~

Privacy Act: N05520-4

DISPOSITION:

(1) Case files.

PERMANENT. Cut off at case closure. Retire to NCIS Records Management Division upon case closure. If space is not available, retire to WNRC. Transfer to NARA 25 years after date of last action.

(a) Paper copy records that have been converted to microform:

1 Paper copy: Destroy upon verification that therecord copy information has been fully and accurately converted to microform.

2 Microform copy: NCIS will convert file to archival medium acceptable at the time of transfer.

(b) Paper copy and microform records that have been converted to electronic/optical images:

1 Paper copy and microform images: Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical images.

2 Electronic/optical images: NCIS will convert file to archival medium acceptable at the time of transfer.

Volume on hand: 200 cubic feet (est)

Annual accumulation: 20 cubic feet (est)

(2) Other copies.

Destroy 1 year after case closure or when no longer needed, whichever is earlier.

- 2c. c. Counterintelligence Sources. Information containing data about individuals who have been used as sources of CI information by Navy; details on use or activities of source which are necessary to confirm operational use of source, or future claims against Navy by source or heirs of source. Included are agreements, contracts, information reports, financial reports, audiovisual products and related information.

Privacy Act: N05520-4

DISPOSITION:

New

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 4 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>3850</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

## (1) Case files

Cut off at case closure. Destroy record copy of case file 75 years after date of last action *case closure, No*

## (2) Other copies

Destroy 1 year after case closure or when no longer needed, whichever is earlier

*2d. Revised. See page 10. No*  
~~d. Counterintelligence Special Operations. Information on requests for and results of special operations such as counterespionage, countersubversion and countersabotage or programs conducted by or with the Navy. Information is generally filed under the project indicator for the specific operation or program. Included are correspondence, reports, plans and similar or related information and audiovisual products and requests for and results of oral, wire, and electronic intercepts. (Actual identity of source is in records contained under SSIC 3850, para. 2c.)~~

Privacy Act: Not applicable.

DISPOSITION:

## (1) Case files.

PERMANENT. Cut off upon completion of operation. Transfer to the National Archives 50 years after end of operation or program. Apply SSIC 3850, para. 2b(1) for disposal guidance.

Volume on hand: 98 cubic feet (est)  
 Annual accumulation: 6 cubic feet (est)

## (2) Other copies.

Destroy 1 year after case closure or when no longer needed, whichever is earlier.

2e. e Reciprocal Investigative Files. Files related to requests from other Federal agencies (Federal Bureau of Investigations, Department of State, etc.) for investigative assistance. *No*

Privacy Act: N05520-4

DISPOSITION:

(1) The basis for the request is a CI matter regarding individuals or organizations under the investigative jurisdiction of the requesting agency. Apply appropriate sub-item from SSIC 3850, paras. 2a-b.

(2) The basis for the request is a CI personnel security matter regarding

N1-NU-89-4/SSIC  
 5527/3e



[3850]

<p>2d (page 4a)</p>	<p><u>d Counterintelligence Special Operations</u> Information on requests and results of special operations such as counterespionage, countersubversion and countersabotage or programs conducted by or with the Navy Information is generally filed under the project indicator for the specific operation or program Included are correspondence, reports, plans and similar or related information and audiovisual products and requests for and results of oral, wire, and electronic intercepts (Actual identity of source is in records contained under SSIC 3850, para 2c )</p> <p>Privacy Act Not applicable</p> <p><u>DISPOSITION</u></p> <p>(1) Case files</p> <p>(a) Paper records</p> <p>PERMANENT Cut off upon completion of operation or program Transfer to NCIS Records Management Division Transfer to National Archives 50 years after end of operation or program</p> <p>(b) Paper copy records that have been converted to microform</p> <p>1 Paper copy Destroy upon verification that the record copy information has been fully and accurately converted to microform</p> <p>2 Microform copy PERMANENT NCIS will convert microform images to a medium (paper, magnetic tape, 3480 class tape cartridge or any other medium) and a format that meet the standards specified in Subchapter B of 36 CFR Chapter XII before the transfer of the records to the National Archives' legal custody, which will take place 50 years after end of operation or program Prior to the transfer National Archives and NCIS representative will determine the medium and format in which records will be transferred</p> <p>(c) Paper copy and microform records that have been converted to electronic/optical images</p> <p>1 Paper copy and microform image copy Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical images</p> <p>2 Electronic/optical image copy PERMANENT Transfer to the National Archives 50 years after end of operation or program At the time of transfer, NARA and NCIS will determine medium and format in which records will be transferred as well as their arrangement Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at that time If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform</p> <p>Volume on hand 98 cubic feet (est) Annual accumulation 6 cubic foot (est)</p> <p>(2) Other copies</p> <p>Destroy 1 year after end of operation or program or when no longer needed, whichever is later</p>	<p>New</p>	
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66

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 5 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

3850

- 2f. DoD-affiliated or non-DoD-affiliated individuals Destroy when 1 year old
- f. CI Defensive Briefings. Requests for and records of briefings of naval personnel who intend to travel or have traveled, either officially or unofficially, to denied areas.

Privacy Act: N05520-4

DISPOSITION Cut off at case closure. *Transfer to Records Management Division* If space is not available, *return to WNRC* Destroy *after 15 years* *after case closure.*

- 2g. g. CI Briefings Consists of requests for, records of and copies of CI briefings covering topics such as threat, technology transfer and counter-terrorism

Privacy Act: Not applicable.

DISPOSITION: Destroy after 1 year or when no longer needed, whichever is longer. *later. No*

- 2h. h. Threat Assessment (General) Contains reports on the collection and assessment of threat information pertaining to naval operations or geographic locations.

Privacy Act: Not applicable.

DISPOSITION: Destroy when superseded, obsolete or no longer needed.

- 2i. i. OPSEC Support Surveys Information on investigative or collection activities in support of operations security management when the circumstances do not include a specific criminal act to be investigated.

Privacy Act: Not applicable.

DISPOSITION: Destroy after next comparable survey, discontinuance of facility or after 3 years, whichever is sooner.

- 2j. j. CI Studies. Contains all-source information on various CI topics of interest to the Department of the Navy.

Privacy Act: Not applicable

DISPOSITION:

(1) Record copy of study (paper or electronic).

Destroy (delete) when superseded or obsolete.

(2) Information (paper or electronic) furnished to NCISHQ by field elements for use in making study.

New

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 6 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>3850</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

- |     |  |                                |
|-----|--|--------------------------------|
| 2k. | <p>Destroy (delete) after 2 years</p> <p>(3) Other copies (paper or electronic) of study</p> <p>Destroy (delete) when superseded, obsolete, or no longer needed for reference.</p> <p>k. <u>Foreign National Marriages</u> Investigations involving marriage between DON personnel and foreign nationals</p> <p>Privacy Act: N05520-4</p> <p><u>DISPOSITION:</u></p> <p>(1) Investigations containing significant derogatory material.</p> <p>Cut off at case closure. <i>Transfer to</i> <del>Retire</del> to NCIS Records Management Division.</p> <p>Destroy <del>when</del> 5 years <del>old</del> <i>after case closure.</i> <i>NO</i></p> <p>(2) All other cases</p> <p>Cut off at case closure. <i>Transfer to</i> <del>Retire</del> to NCIS Records Management Division.</p> <p>Destroy <del>when</del> 1 year <del>old</del> <i>after case closure.</i> <i>NO</i></p> | N1-NU-89-4/SSIC<br>5527/1b(11) |
| 2l. | <p>1. <u>Visa Applicants</u>. Investigations to determine the eligibility for a visa to enter the United States of foreign national spouses of DoN employees.</p> <p>Privacy Act: N05520-4</p> <p><u>DISPOSITION:</u></p> <p>(1) Investigations containing significant derogatory material.</p> <p>Cut off at case closure. <i>Transfer to</i> <del>Retire</del> to NCIS Records Management Division.</p> <p>Destroy <del>when</del> 5 years <del>old</del> <i>after case closure.</i> <i>NO</i></p> <p>(2) All other cases.</p> <p>Cut off at case closure. <i>Transfer to</i> <del>Retire</del> to NCIS Records Management Division.</p> <p>Destroy <del>when</del> 1 year <del>old</del> <i>after case closure.</i> <i>NO</i></p>   | New<br><br>New                 |
| 2m. | <p>m. <u>Technical Inspections and Surveys</u>. Inspections to determine the efficiency of security measures and surveys to determine the measures necessary to protect a command, installation, or site from penetration for purpose of technical surveillance. <i>also includes related information such as requests for inspections and surveys.</i> <i>NO</i></p> <p>Privacy Act: Not applicable.</p> <p><u>DISPOSITION:</u> Destroy when 5 years old.</p>   | N1-NU-89-4/SSIC<br>5527/3b     |

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 7 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>3850</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

## 3 POLYGRAPH EXAMINATION RECORDS

- 3a. a. Polygraph Examinations Conducted in Support of Counterintelligence Activities Copies of examination records created in support of CI activities. Includes statistical and technical data sheets, question sheets, charts, numerical evaluation forms, subject statements, consent forms, medical waivers, interview logs, personal data sheets and related documents

Privacy Act: N05520-4

DISPOSITION: Retain on board until completion of final quality assurance review. ~~Incorporate into associated CI file. Dispose of in accordance with guidance for associated file.~~ *File and dispose of with associated CI file, such as SSIC 3850, paragraphs 2a and 2b. HND*

New

- 3b. b. Counterintelligence Security Polygraph (CSP) Program Records Information created in support of the CSP Program. A CSP Package includes CSP briefing form, Report of Investigation (ROI), statistical and technical data sheet, question sheets, charts, numerical evaluation form, consent form, medical waiver, personal data sheet and interview log. Also includes audio tapes

Privacy Act: N05520-4

DISPOSITION:

- (1) CSP Packages favorably resolved.

- (a) All locations.

Destroy after final quality assurance review except:

- (b) At NCIS Polygraph Units.

Retain on board CSP ROI only. Destroy after 1 year ~~for when no longer needed, whichever is earlier.~~ *Early destruction is authorized if records are no longer needed. HND*

- (2) Other than favorably resolved cases.

(a) Retain on board. Destroy after completion of final quality assurance review except:

- (b) *HND* When an existing criminal investigation exists, incorporate CSP Package in investigation file. *HND*

Dispose of in accordance with guidance for dossier.

- (3) Audio tape recordings of routine CSP examinations.

- (a) Recordings with No Significant Responses (NSR).

New

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 8 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <i>3850 ends 5512 begins</i>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

*7/10*  
Erase after 90 days for when no longer needed, whichever is earlier. *Early destruction is authorized if records are no longer needed. 7/10*  
(b) Recordings referred for further investigations

Incorporate into investigative case file. Dispose of in accordance with guidance for dossier.

SSIC 5512

IDENTIFICATION (CREDENTIALS, TAGS, PASSES, AND PERMITS) RECORDS

1. - 16. No change.

- 4 17. NAVAL CRIMINAL INVESTIGATIVE SERVICE (NCIS) INVESTIGATOR BADGE, CREDENTIAL AND PROTECTIVE SERVICE PIN CONTROLS RECORDS. Information showing the issue and control of badges, credentials and pins naming NCIS civilian and military personnel. Included are receipts, log books, loss/recovery reports, inventories, inspections, destruction lists and related documents.

Privacy Act: N01070-12

DISPOSITION:

- a. Logbooks (paper or electronic).

(1) At Field Offices:

Destroy (delete entry) after 5 years

(2) At NCISHQ:

- (a) *Paper copy.* Retain on board. Destroy 75 years after last entry. (b) Paper copy records that have been converted to electronic records:

*1*  
~~1~~ Paper copy: Destroy upon verification that the record copy information has been fully and accurately converted to electronic format.

*2*  
~~2~~ Electronic record: Delete entry when 75 years old.

- b. Receipts and credentials by persons to whom badges, credentials and or pins are issued upon their:

(1) Departure: Destroy 90 days after final surrender of credentials.

(2) Retirement: Credentials of persons meeting NCIS criteria may be given to agent upon request after annotated "RETIRED" and encased (at individual's expense).

*New items*

*GRS 11/  
4a + b  
(exception)*

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 9 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <i>5512 ends 5527 begins</i>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

c. Other receipts, inventories, inspections, etc.

Destroy after next inventory or inspection if all items are accounted for

SSIC 5527

INVESTIGATIONS RECORDS

5. 1. NAVAL CRIMINAL INVESTIGATIVE SERVICE (NCIS)  
PERSONNEL SECURITY INVESTIGATIVE CASE FILES Files include personnel security data on members of the Armed Forces, DoD civilian, contractor, nonappropriated fund employees, USO personnel, Red Cross volunteers and staff, and U.S. Coast Guard military and selected civilian personnel under the Defense Industrial and Personnel Security Programs For criminal and counterintelligence investigative and operational records previously under this SSIC, see SSICs 3850 and 5580 respectively.

- 5a. a. Routine Investigations. Files relating to personnel security investigations of a favorable nature on persons who are considered for affiliation with DoD and other investigations of a minor nature impacting on the suitability of a person to possess a security clearance. Files include personnel security information on persons who are considered for affiliation with DoD.

NC1-330-76-1/1a(1)  
and N1-NU-89-4/SSIC  
5527/1a(1)

Privacy Act: N05520-4

DISPOSITION:

- (1) Case files

*Joseph*  
Cut off at case closure. *Transfer* Retire to NCIS Records Management Division. If space is not available, *Transfer* retire to WNRC. Destroy 15 years after *the date of last action*, except:

*Case closure* *NO*

- (2) When affiliation with DoD is not completed.

Destroy after 1 year if affiliation is not completed.

- (3) Other copies.

*case NO* Destroy 1 year after closure *Early destruction is authorized* or when no longer needed, whichever is earlier. *if records are no longer needed NO*

*New*

*New*

- 5b. b. Significant Incidents or Adverse Actions. Files relating to personnel security investigations resulting in an adverse personnel action, court-martial or other investigation required for long term administrative or legal use.

NC1-330-76-1/1a(2)  
and N1-NU-89-4/SSIC  
5527/1a(2)

Privacy Act: N05520-4



REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 10 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION 5527	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

DISPOSITION

## (1) Case files

Cut off at case closure. Retire to NCIS Records Management Division. If space is not available, retire to WNRC. Destroy 25 years after ~~the date of last action.~~ *case closure. HND*

## (2) Other copies.

*NO Early destruction is*  
Destroy 1 year after case closure ~~or when no longer needed, whichever is earlier.~~ *later. HND authorized if records are no longer needed. HND*

NEW

6 2 CIVIL DISTURBANCE Cancelled Use SSIC 5580, para 7

7. 3. NCIS INVESTIGATIONS OF SPECIAL ACTIVITIES

7a. a. Agent Applicants for Positions with NCIS Information concerning DoD-affiliated and non-DoD-affiliated applicants.NI-NU-89-4/SSIC  
5527/1b(10)

Privacy Act: N05520-4

DISPOSITION:

## (1) Applicants not hired by NCIS

## (a) DoD-affiliated

*Transfer HND*  
Cut off at case closure. ~~Retire~~ to NCIS Records Management Division. Destroy when 5 years old.

## (b) Non-DoD-affiliated.

*Transfer HND*  
Destroy when 90 days old ~~or sooner~~

GRS 1/33h  
(exception)

## (2) Applicants who are accepted.

*Transfer*  
Cut off at case closure. ~~Retire~~ to NCIS Records Management Division. Destroy 10 years after release, separation, transfer, retirement or resignation.

GRS 1/15  
(exception)7b. b. Internal Personnel Inquiries. Case files relating to inquiries/ investigations regarding NCIS personnel to include Special Agents and key military and civilian personnel.

Privacy Act: N05520-4

DISPOSITION:

*Transfer HND*  
Cut off at case closure. ~~Retire~~ to NCIS Records Management

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 11 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)
	<p><i>case closure</i> <i>5527 ends</i> <i>5580 begins</i></p> <p>Division. Destroy 25 years after <del>the date of the last action</del> or 10 years after termination of employment, whichever is later.</p> <p>7c c. <u>Limited Inquiries</u>. Limited inquiries used to determine suitability of military and non-Special Agent civilian personnel for duty with NCIS</p> <p>Privacy Act. N05520-4</p> <p><u>DISPOSITION:</u></p> <p>Cut off at inquiry closure. <i>Transfer to NCIS Records Management Division</i> If space is not available, <i>Transfer to WNRC</i>. Destroy <del>after</del> 5 years <i>after inquiry closure.</i></p> <p>7d d. <u>Support Applicants</u> Pre-employment inquiries for civilian support personnel</p> <p>Privacy Act. N05520-4</p> <p><u>DISPOSITION:</u></p> <p>Cut off at inquiry closure. <i>Transfer to NCIS Records Management Division</i> If space is not available, <i>Transfer to WNRC</i>. Destroy <del>after</del> 15 years <i>after inquiry closure.</i></p> <p><u>SSIC 5580</u></p> <p><u>LAW ENFORCEMENT RECORDS</u> <i>INCIDENT REPORTS (IR) AND</i></p> <p>8. 1. <u>INCIDENT/COMPLAINT REPORTS (ICR)</u>. Files created during maintenance of discipline, law and order and include information such as arrest reports, receipts for offenders, sobriety tests, patrol officer reports, sworn statements, arrest and disposition reports, offense reports, and other papers relating to incidents, arrest or detention. This also includes records previously collected under SSIC 1630, para 3.</p> <p>Privacy Act. N05527-1 and MMN00009</p> <p><u>DISPOSITION:</u></p> <p>a. Original of DON law enforcement reports pertaining to categories of investigations/reports under the jurisdiction of the Naval Criminal Investigative Service (NCIS), <i>as identified in SECNAVINST 5580.1. [R. were per H. Persons, 4-9-2001]</i> (1) Transfer to Dir, NCIS. (For disposition, see SSIC 5580, para. 4c)</p> <p>b Copies of SSIC 5580, para 1a and all other reports</p> <p>Destroy <del>when</del> 2 years <del>old or as otherwise indicated</del> <i>after date of incident or if extended retention required, when no longer needed.</i></p>	<p><i>New</i></p> <p><i>New</i></p> <p>N1-NU-89-4/SSIC 5580/1</p> <p><i>New</i> <i>(cross-reference)</i> <i>5580/1</i></p>	



REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 12 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>5580</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

2. - 3 (No change)

9

4. NCIS CRIMINAL INVESTIGATIVE RECORDS Files relating to law enforcement information and criminal investigative cases

*9a. Revised. See page 12a. NIS*

~~a. Criminal Investigative Reports. Investigative reports of matters of alleged violations of laws, regulations, and directives in which NCIS has jurisdiction and responsibility. This includes requests for and results of polygraph and forensic laboratory examinations, technical investigative techniques such as oral, wire and electronic intercepts, copies of evidence custody documents and other related material. Also included are criminal investigations completed by USMC CID and Grand Jury material.~~

~~N1 NU 89 4SSIC  
5527/a(3)~~

Privacy Act: N05520-4

DISPOSITION:

(1) Case files.

Cut off at case closure. Retire to NCIS Records Management Division. If space is not available, retire to WNRC Destroy 25 years after the date of case closure except:

(2) Controlled death investigations.

Destroy 75 years after date of case closure.

(3) Files (except Grand Jury material which is to be destroyed at the time of transfer) from a(1) or (2) determined to be of historical value based on widespread public interest, notoriety of the individual(s) and or the seriousness of the alleged offenses.

PERMANENT. Transfer to NARA 25 years after date of last action.

(a) Paper copy records that have been converted to microform:

1 Paper copy: Destroy upon verification that the record copy information has been fully and accurately converted to microform.

2 Microform copy: NCIS will convert file to archival medium acceptable at the time of transfer.

(b) Paper copy and microform records that have been converted to electronic/optical images:

1 Paper copy and microform images: Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical images.

2 Electronic/optical images: NCIS will convert file to archival

[5580]

9a (page 12a)	<p>a <u>Criminal Investigative Reports</u> Investigative reports of matters of alleged violations of laws, regulations, and directives in which NCIS has jurisdiction and responsibility. This includes requests for and results of polygraph and forensic laboratory examinations, technical investigative techniques such as oral, wire and electronic intercepts, copies of evidence custody documents and other related material. Also included are criminal investigations completed by USMC CID and Grand Jury material.</p> <p>Privacy Act N05520-4</p> <p><u>DISPOSITION</u></p> <p>(1) Case files Cut off at case closure. Transfer to NCIS Records Management Division. If space is not available, transfer to WNRC.</p> <p>(a) Destroy 25 years after case closure unless (1)(b) or (2) applies.</p> <p>(b) Controlled death and criminal sex investigations and investigations created on or after 1 January 1988 and where DoDI 5505.11 requires submission of offender criminal history data to the FBI.</p> <p>Destroy 50 years after case closure unless (2) applies.</p> <p>(2) Files (except Grand Jury material which is to be destroyed at the time of transfer) from a(1)(a) or a(1)(b) determined to be of historical value based on widespread public interest, notoriety of the individual(s) and/or the seriousness of the alleged offenses.</p> <p>(a) Paper copy</p> <p>PERMANENT Transfer to National Archives 50 years after case closure.</p> <p>(b) Paper copy records that have been converted to microform</p> <p>1 Paper copy Destroy upon verification that the record copy information has been fully and accurately converted to microform.</p> <p>2 Microform copy PERMANENT NCIS will convert microform images to a medium (paper, magnetic tape, 3480 class tape cartridge or any other medium) and a format that meet the standards specified in Subchapter B 36 CFR Chapter XII before the transfer of the records to the National Archives' legal custody, which will take place 50 years after case closure. Prior to the transfer National Archives and NCIS representatives will determine the medium and format in which records will be transferred.</p> <p>(c) Paper copy and microform records that have been converted to electronic/optical images</p> <p>1 Paper copy and microform images Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical images.</p> <p>2 Electronic/optical image copy PERMANENT Transfer to the National Archives 50 years after case closure. At the time of transfer, NARA and NCIS will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at that time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform.</p> <p>Volume on hand 30 cubic feet (est) Annual accumulation 2 cubic foot (est)</p> <p>(3) Other copies Destroy 1 year after case closure or, if extended retention is required, when no longer needed.</p>	N1-NU-89-4/SSIC 5527/1a(3)	<p>New</p> <p>Parenthetical Permissive exception To SSIC 5527/1a(3)</p> <p>New</p>
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REQUEST FOR RECORDS DISPOSIT.		AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 13 OF 26
7. Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	5580		9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

medium acceptable at the time of transfer

Volume on hand 30 cubic feet (est)

Annual accumulation 2 cubic feet (est)

(4) Other copies

Destroy 1 year after case closure or when no longer needed, whichever is earlier.

*9b. Revised, see page 13a*  
~~b. Topical Files (Titled Under Name of Ship, Installation, Company or Subject Code) Files contain investigations of the type mentioned in SSIC 5580, para. 4a when a logical suspect is not developed. If a logical suspect is developed within 5 years of the initiation date for any of these investigations, the investigative reports are pulled from the topical file and retained with the pertinent name dossier. After 5 years, the remaining topical file material is of no substantive value for investigative, historical, or other research; and or is other-agency originated documents~~

~~NI-NU-89-4/SSIC  
5527/3d~~

Privacy Act: N05520-4

#### DISPOSITION

(1) Case files.

Cut off at case closure. Return to NCIS Records Management Division.  
Destroy when 5 years old except:

(2) Weapons cases. Cases when weapons have a known serial number and are entered in the FBI National Crime Information Center (NCIC)

Cut off at case closure. Return to NCIS Records Management Division.  
Destroy when NCIC entry is deleted

(3) Files from 4b(1) and (2) determined to be of historical value based on widespread public interest, notoriety of the incident or the seriousness of the allegation.

PERMANENT. Transfer to NARA 5 years after case closure. Apply SSIC 5580, para. 4a(3).

Volume on hand: 5 cubic feet (est)

~~Annual accumulation: 1 cubic foot (est)~~

*9c. Revised, see page 13b.*  
~~c. Incident Complaint Reports (ICR). Copies of Marine Corps and Navy base security law enforcement reports created under SSIC 5580, para. 1 and forwarded to NCIS.~~

Privacy Act: N05520-4

[5580]

9b (page 13a)	<p><b>b Topical Files (Titled Under Name of Ship, Installation, or Subject Code)</b> Files contain investigations of the type mentioned in SSIC 5580, para 4a when a logical suspect is not developed except death and criminal sex cases, which will be filed under SSIC 5580, para 4a(1)(b). If a logical suspect is developed within 5 years of the close date for any of these investigations, the investigative reports are pulled from the topical file and retained with the pertinent name dossier. After 5 years, the remaining topical file material is of no substantive value for investigative, historical, or other research, and or is other-agency originated documents.</p> <p>Privacy Act N05520-4</p> <p><b>DISPOSITION</b></p> <p>(1) Case files Cut off at case closure Transfer to NCIS Records Management Division</p> <p>(a) Destroy 5 years after case closure unless (1)(b) or (2) applies</p> <p>(b) Weapons cases Cases when weapons have a known serial number and are entered into the FBI automated National Crime Information Center (NCIC)</p> <p>Cut off at case closure Retire to NCIS Records Management Division Destroy when NCIC index entry is deleted</p> <p>(2) Files from 4b(1)(a) and (b) determined to be of historical value based on widespread public interest, notoriety of the incident or the seriousness of the allegation</p> <p>(a) Paper copy</p> <p>PERMANENT Transfer to the National Archives 5 years after case closure</p> <p>(b) Paper or microform records that have been converted to electronic/optical imaging</p> <p>1 Paper copy Destroy upon verification that the record copy information has been fully and accurately converted to microform</p> <p>2 Microform copy PERMANENT NCIS will convert microform images to a medium (paper, magnetic tape, 3480 class tape cartridge or any other medium) and a format that meet the standards specified in Subchapter B of 36 CFR Chapter XII before the transfer of the records to the National Archives' legal custody, which will take place 5 years after case closure. Prior to the transfer National Archives and NCIS representatives will determine the medium and format in which records will be transferred</p> <p>(c) Paper copy and microform records that have been converted to electronic/optical images</p> <p>1 Paper copy and microform image copy Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical images</p> <p>2 Electronic/optical image copy PERMANENT Transfer to the National Archives 5 years after case closure. At the time of transfer, NARA and NCIS will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at that time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform</p> <p>(3) Other copies</p> <p>Destroy 1 year after case closure or, if extended retention is required, when no longer needed</p>	<p>N1-NU-89-4/SSIC 5527/3d</p> <p>New</p> <p>New</p> <p>New</p>	
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[5580]

<p>9c (Page 13b)</p>	<p>c <u>Incident Reports (IR)/Incident Complaint Reports (ICR)</u> Copies of Marine Corps and Navy base security law enforcement reports created under SSIC 5580 para 1a and forwarded to NCIS</p> <p>Privacy Act NO 5520-4</p> <p><u>DISPOSITION</u></p> <p>(1) Case files falling under NCIS jurisdiction</p> <p>Cut off at case closure Transfer to NCIS Records Management Division If space is not available transfer to WNRC Destroy 50 years after case closure</p> <p>(2) All other case files (extra copies from SSIC 5580 para 1b missent to Dir. NCIS)</p> <p>Destroy when determined to be outside NCIS jurisdiction</p>	<p>New</p>	
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REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 14 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>5580</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

DISPOSITION:

(1) Significant case files.

*See page 13b*  
 Cut off at case closure. ~~Retire~~ *Transfer no* to NCIS Records Management Division. If space is not available, ~~Retire~~ *Transfer no* to WNRC. Destroy ~~when 25 years old~~ *50 yrs* after case closure.

(2) All other cases.

Destroy when no longer needed.

9d. d. Non-Investigative Reports. Consists of reports concerning non-investigative issues such as criminal intelligence and information reports, protective services, law enforcement briefings, and sources administration

9d(1) *operations no*  
 (1) Criminal intelligence operations Reports concerning information generated from formalized programs targeting persons or organizations whose criminal activities significantly affect the naval establishment, or of those activities designed to gain information of a criminal intelligence nature for law enforcement purposes.

Privacy Act: N05520-4

NI-NU-89-4/SSIC  
 5527/3f (3)

*Amended  
 "Criminal  
 Intelligence"  
 to read  
 "Initiative"  
 per 7/10/2001  
 Navy request.  
 RADW 8/1/2001*

DISPOSITION:

(a) Group 1:

*Transfer*  
~~Retire~~ to NCIS Records Management Division. If space is not available, ~~Retire~~ to WNRC. Destroy 15 years after closure  
*Transfer no*

(b) Group 2:

*Transfer*  
~~Retire~~ to NCIS Records Management Division. If space is not available, ~~Retire~~ to WNRC. Destroy 5 years after closure.  
*Transfer no*

9d(2). *Period. See page 14a, 14b*  
 (2) Protective Operations Protective details of distinguished persons. Reports and related material pertaining to protection of distinguished persons.

~~NI-NU-89-4/SSIC  
 5527/3a and GRS 18/8~~

Privacy Act: N05520-4

DISPOSITION:

(a) Threat or attempted threat materializes

Cut off at case closure. Retire to NCIS Records Management Division. If space is not available, transfer to WNRC. Destroy when 25 years old.

(b) All other cases.

[5580]

<p>9d(2) (Page 14a)</p>	<p>(2) Protective Operations Protective details of distinguished persons Reports and related material pertaining to protection of distinguished persons where threats or attempted threats do not materialize (Where a threat or attempted threat materializes, use SSIC 5580, para 4a )</p> <p>Privacy Act N05520-4</p> <p><u>DISPOSITION</u></p> <p>Destroy when 5 years old</p>	<p>N1-NU-89-4/SSIC 5527/3a</p>	
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REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 15 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <i>5580</i>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

~~Destroy when 5 years old.~~

- 9d(3). (3) Law Enforcement Briefings Consists of requests for, records and copies of law enforcement briefings pertaining to topics such as fraud awareness, crime prevention

Privacy Act: Not applicable.

DISPOSITION:

Destroy after 1 year or when no longer current, whichever is ~~longer~~ *later NND*

- 9d(4). (4) Sources Information containing data about personnel who have been used as sources of criminal information by the Navy, the details on use or activities of source that are necessary to confirm operational use as source, or future claims against Navy by source or heirs of source. Included are agreements, contracts, information and financial reports, audiovisual products and related information. Also included is information on individuals considered for use, but rejected.

Privacy Act: N05520-4

DISPOSITION:

- (a) Case files.

Cut off at case closure and ~~transfer~~ *transfer NND* to NCIS Records Management Division.  
Destroy 15 years after ~~[date of last action]~~ *case closure, NND*

- (b) Other copies.

Destroy 1 year after case closure or when no longer needed, whichever is ~~earlier~~ *later, NND*

- 9d(5). (5) Information Reports. Reports of incidental information impacting on the security or discipline of commands or of interest to other law enforcement elements. (Reports where no individual is identified as subject will be filed under SSIC 5580, para. 4b.)

Privacy Act: N05520-4

DISPOSITION:

Destroy when 25 years old.

10. 5. EVIDENCE LOGBOOKS AND EVIDENCE CUSTODY FILES.  
Information created by the NCIS and Base Security/Provost Marshal Offices worldwide and used by criminal investigators and crime laboratories. It consists of information showing the description, receipt, and disposition of physical property held as evidence for potential use in

*New*



REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 16 OF 26
7 Item NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>5580</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

military or civil court proceedings Included are evidence custody documents (ECD), statements of destruction, logbooks (e g., OPNAV 5527), and related information.

Privacy Act: Not applicable

DISPOSITION:

a. Evidence logbook:

*Retain on board. New*

Destroy 5 years after all items of evidence have been disposed of

b. Evidence custody information:

*Retain on board. New*

Destroy information 5 years after final disposition of evidence.

11. 6. RECIPROCAL INVESTIGATIVE FILES. Files related to requests from other Federal (Federal Bureau of Investigation, Drug Enforcement Agency, etc.), state and local agencies for investigative assistance. The basis for the request is a criminal investigative matter regarding individuals or organizations under the investigative jurisdiction of the requesting agency.

Privacy Act: N05520-4

DISPOSITION:

Apply appropriate sub-item from SSIC 5580, paras. 4a-c.

12. 7. CIVIL DISTURBANCE FILES. The Attorney General is the chief civilian officer in charge of coordinating all Federal government activities relating to civil disturbances. Upon specific prior authorization of the Secretary of Defense or his designee, information may be acquired which is essential to meet operational requirements flowing from the mission assigned to DoD to assist civil authorities in dealing with civil disturbances. Such authorization will only be granted when there is a distinct threat of civil disturbance exceeding the law enforcement capabilities of state and local authorities. Records consist of information on investigative and other activities authorized in connection with civil disturbance responsibilities within the United States, District of Columbia, Commonwealth of Puerto Rico, and United States territories and possessions.

- 12a. a. Open Source Listing of Federal, State, and Local Officials. Listings of those who have official responsibilities related to control of disturbances which are obtained prior to commitment of Federal troops and routinely maintained for planning purposes.

Privacy Act: To be determined.

*New*

*New*

N1-NU-89-4/SSIC  
5527/3e

NC1-330-76-1/2 and  
N1-NU-89-4/SSIC  
5527/2

NC1-330-76-1/2a and  
N1-NU-89-4/SSIC  
5527/2a

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 17 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>5580</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

DISPOSITION:

Destroy when superseded, <sup>or</sup> obsolete, ~~or no longer needed, whichever is earlier~~.

- 12b. b. Open Source Physical Data on Vital Public or Private Installations, Facilities, Highways, and Utilities. Data which may be necessary to carry out missions assigned are obtained prior to commitment of Federal troops and routinely maintained for planning purposes

Privacy Act: Not applicable.

DISPOSITION:

Destroy when superseded, <sup>or</sup> obsolete, ~~or no longer needed, whichever is earlier~~.

- 12c. c. Data Which Pertains to Early Warning of Incidents, Potential Threats, and Situation Estimates. Data obtained from Federal, State or local investigative or law enforcement agencies (which duplicates files maintained by the originating agency) prior to commitment of Federal troops and subject to evaluation to determine pertinency with no DoD file being created or no DoD information generated.

Privacy Act: To be determined.

DISPOSITION:

Destroy 60 days after termination of the specific situation or incident.

- 12d. d. Data Collected or Developed by DoD Components During a Period When Field Acquisition, Reporting, or Processing Activities have been Specifically Authorized by the Secretary of Defense Data includes unconfirmed, fragmentary, routine, or transitory material not included as background data in SSIC 5580, para. 5~~g~~. *7h*

Privacy Act: To be determined.

DISPOSITION:

Destroy 60 days after termination of the civil disturbance.

- 12e. *Revised. See page 17a. 7h*  
e. ~~Documents Prepared by Military Departmental Staffs, Agency Headquarters, or Task Force Element.~~ Those which are engaged in quelling a civil disturbance, including background data, after action reports, and historical summaries. Such after action reports and historical summaries will avoid references to non-affiliated persons and organizations by name to the greatest extent possible.

Privacy Act: To be determined.

NC1-330-76-1/2b and  
N1-NU-89-4/SSIC  
5527/2b

NC1-330-76-1/2c and  
N1-NU-89-4/SSIC  
5527/2c

NC1-330-76-1/2d and  
N1-NU-89-4/SSIC  
5527/2d

~~NC1-330-76-1/2e and  
N1-NU-89-4/SSIC  
5527/2e~~

[55807]

<p>12e (page 17a)</p>	<p>c <u>Documents Prepared by Military Departmental Staffs, Agency Headquarters, or Task Force Elements</u> Those which are engaged in quelling a civil disturbance, including background data, after action reports, and historical summaries Such after action reports and historical summaries will avoid references to non-affiliated persons and organizations by name to the greatest extent possible</p> <p>Privacy Act To be determined</p> <p><u>DISPOSITION</u></p> <p>(1) Paper records</p> <p>PERMANENT Retain on board Transfer to the National Archives 25 years after the situation or event terminates</p> <p>(2) Paper copy records that have been converted to microform</p> <p>(a) Paper copy Destroy upon verification that the record copy information has been fully and accurately converted to microform</p> <p>(b) Microform copy PERMANENT Convert microform images to a medium (paper, magnetic tape, microform, 3480 class tape cartridge or any other medium) and a format that meet the standards specified in Subchapter B of 36 CFR Chapter XII before the transfer of the records to the National Archives' legal custody, which will take place 25 years after the situation or event terminates Prior to the transfer National Archives and DON representatives will determine the medium and format in which records will be transferred</p> <p>(3) Paper or microform records that have been converted to electronic/optical imaging</p> <p>(a) Paper or microform copy Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical imaging</p> <p>(b) Electronic/optical image copy PERMANENT Transfer to the National Archives 25 years after the situation or event terminates At the time of transfer, NARA and DON representatives will determine medium and format in which records will be transferred as well as their arrangement Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at that time If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform</p> <p>Volume on hand Cannot determine</p> <p>Annual accumulation Situation dependent This information is only collected during periods of civil disturbance requiring the involvement of DoD activities</p>	<p>NC1-330-76-1/2e and N1-NU-89-4/SSIC 5527/2c</p>	
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REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 18 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>5580</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

DISPOSITION:

PERMANENT. Transfer to NARA 25 years after the situation or event terminates.

(a) Paper copy records that have been converted to microform:

1 Paper copy. Destroy upon verification that the record copy information has been fully and accurately converted to microform.

2 Microform copy. NCIS will convert file to archival medium acceptable at the time of transfer

(b) Paper copy and microform records that have been converted to electronic/optical images:

1 Paper copy and microform images: Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical images.

2 Electronic/optical images: NCIS will convert file to archival medium acceptable at the time of transfer.

Volume on hand: Cannot determine.

Annual accumulation: Situation dependent. This information is only collected during periods of civil disturbance requiring the involvement of DoD activities.

13. 8. Files Relating to Non-DoD Affiliated U.S. Citizens, Organizations or Foreign Nationals. Information contained in these files, to the extent that it concerns U.S. persons, is collected in accordance the Executive Order 12333, dated 4 December 1981, or for force protection purposes.

NC1-330-76-1/1b and  
N1-NU-89-4/SSIC  
5527/1b

- 13a. ~~a. Activities or Events Posing One of the Following Types of Continuing Threats to DoD Military and Civilian Personnel and Defense Activities and Installations: Demonstrated hostility—activities in which an actual example of violent or criminal hostility has been carried out within the previous year; threatened hostility—activities which during the previous year have explicitly threatened DoD functions; potential hostility—activities whose continuing hostile nature in the vicinity of DoD installations provides a significant potential source of harm or disruption of the installation or its function; dissidence activities—activities during the previous year which have involved actively encouraging violation of law, disobedience of lawful order or regulation, or disruption of military activities.~~

~~NC1-330-76-1/1b(1)  
and N1-NU-89-4/SSIC  
5527/1a~~

- 13a(1) (1) Information which falls in the above categories that is originated by, and received or acquired from, agencies outside the DoD.

NC1-330-76-1/1b(1)  
(a) and N1-NU-89-4/SSIC 5527/1b(1) (a)

Privacy Act: To be determined.

[5580]

13a (page 18a)	<p>a <u>Activities or Events Posing One of the Following Types of Continuing Threats to DoD Military and Civilian Personnel and Defense Activities and Installations</u> Demonstrated hostility--activities in which an actual example of violent or criminal hostility has been carried out within the previous year, threatened hostility--activities which during the previous year have explicitly threatened DoD functions, potential hostility--activities whose continuing hostile nature in the vicinity of DoD installations provides a significant potential source of harm or disruption of the installation or its function, dissidence activities--activities during the previous year which have involved actively encouraging violation of law, disobedience of lawful order or regulation, or disruption of military activities</p> <p>Privacy Act To be determined</p> <p><u>DISPOSITION</u></p>	NC1-330-76-1/1b and N1-NU-89-4/SSIC 5527/1b	Disposition not approved (Interim language approved)
13a(1)	<p>(1) Information which falls in the above categories that is originated by, and received or acquired from, agencies outside the DoD</p> <p>Destroy not later than 1 year after acquisition unless validated for retention for another year when it is determined during the annual verification review by the Secretaries of the Military Departments that a continued threat exists</p>	NC1-330-76-1/1b(1) (a) and N1-NU-89-4/ SSIC 5527/1b(1)(a)	
13a(2)	<p>(2) Files or other documents created within DoD which contain significant analytical comments, value judgments or recommendations pertaining to information received or acquired from agencies outside the DoD</p> <p>Retain on board for a period not to exceed 1 year after acquisition unless validated on an annual basis for continued retention. When DoD-originated information is not validated for continued retention, DON will submit a SF 115 to NARA to obtain appropriate disposition authority for these records. Meanwhile, their destruction is not authorized. If the National Archives determines any records to be permanent, NARA and DON will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at that time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform.</p> <p>Volume on hand Cannot determine Annual accumulation Situation dependent</p>	NC1-330-76-1/1b(1) (b) and N1-NU-89-4/ SSIC 5527/1b(1)(b)	

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 19 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION 5580	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

DISPOSITION

Destroy not later than 1 year after acquisition unless validated for retention for another year when it is determined during the annual verification review by the Secretaries of the Military Departments that a continued threat exists.

13a(2)

(2) Files or other documents created within DoD which contains significant analytical comments, value judgements, or recommendations pertaining to information received or acquired from agencies outside the DoD.

Privacy Act: To be determined

DISPOSITION

Retain on board for a period not to exceed 1 year after acquisition unless validated on an annual basis for continued retention. When DoD-originated information is not validated for continued retention, these files will be offered to NARA for a determination of their historical value

(a) Paper copy records that have been converted to microform:

1 Paper copy: Destroy upon verification that the record copy information has been fully and accurately converted to microform.

2 Microform copy: Convert file to archival medium acceptable at time of transfer.

(b) Paper copy and microform records that have been converted to electronic/optical images:

1 Paper copy and microform images. Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical images.

2 Electronic/optical images: Convert file to archival medium acceptable at time of transfer.

Volume on hand: Cannot determine.

~~Annual accumulation: Situation dependent.~~

NC1-330-76-1/1b(1)(b)  
and N1-NU-89-4/SSIC  
5527/1b(1) (b)

13b.

b. Activities or Events Not Posing a Continuing Threat. Information originated by, and received or acquired from, agencies outside the DoD during the course of routine investigative or liaison activity which after receipt is subsequently determined to fall outside the area of interest of the DoD, or which is determined not to pose a threat to DoD personnel, property, or functions and no DoD file is created or DoD information generated.

NC1-330-76-1/1b(2)  
and N1-NU-89-4/SSIC  
5527/1b(2)



REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 20 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>5580</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

Privacy Act: To be determined

DISPOSITION

Destroy immediately after an evaluation determines a threat does not exist or not later than 90 days ~~following acquisition~~ *after receipt* whichever is earlier

*13c. Review. See page 20a. 7/10/02*  
~~e. Special Investigations/Operations. Files or other documentation originated by DoD components pertaining to those activities of non-DoD affiliated organizations/individuals which potentially or actually threaten DoD functions, property, or personnel and files or other documentation relating to Defense Investigative Review Council (DIRC)-approved measures to quell or counter these activities~~

~~NC1-330-76-1/1b(3)  
and N1-NU-89-4/SSIC  
5527/1b(3)~~

Privacy Act: To be determined

DISPOSITION:

PERMANENT. Retain on board. Offer to NARA 25 years after date of last action. (Apply SSIC 3850, para. 3a(2) for disposal guidance.)

Volume on hand: Cannot determine.

~~Annual accumulation: Situation dependent.~~

*13d. Review. See page 20a. 7/10/02*  
~~d. Base Access for Organizations/Individuals Serving DoD Installations. Investigative information on organizations/individuals providing commercial services, engaged in contracts, or otherwise engaged in contracts or business enterprises on DoD installations~~

~~NC1-330-76-1/1b(4)  
and N1-NU-89-4/SSIC  
5527/1b(4)~~

Privacy Act: To be determined.

DISPOSITION:

(1) If the contract is in dispute

Destroy 1 year after final payment or other settlement.

(2) If information contains significant derogatory information.

Destroy after 5 years.

(3) All other cases.

Destroy after 1 year or for commercial organizations/individuals, 1 year ~~after the service is discontinued.~~

*13e.* e. Requests for DoD Personnel to Attend or Officiate at Meetings, Ceremonies, etc., as Representatives of DoD. Information concerning the organization/individual making the request, the nature of the event, and any other details describing the occasion.

NC1-330-76-1/1b(5)  
and N1-NU-89-4/SSIC  
5527/1b(5)

[5580]

<p>13c (page 20a)</p>	<p>c <u>Special Investigations/Operations</u> Files or other documentation originated by DoD components pertaining to those activities of non-DoD affiliated organizations/individuals which potentially or actually threaten DoD functions, property, or personnel and files or other documentation relating to Defense Investigative Review Council (DIRC)-approved measures to quell or counter these activities</p> <p>Privacy Act To be Determined</p> <p><u>DISPOSITION</u></p> <p>(1) Paper records</p> <p>PERMANENT Retain on board Transfer to the National Archives 25 years after last action</p> <p>(2) Paper copy records that have been converted to microform</p> <p>(a) Paper copy Destroy upon verification that the record copy information has been fully and accurately converted to microform</p> <p>(b) Microform copy PERMANENT Convert microform images to a medium (paper, magnetic tape, microform, 3480 class tape cartridge or any other medium) and a format that meet the standards specified in Subchapter B of 36 CFR Chapter XII before the transfer of the records to the National Archives' legal custody, which will take place 25 years after last action Prior to the transfer National Archives and DON representatives will determine the medium and format in which records will be transferred</p> <p>(3) Paper or microform records that have been converted to electronic/optical imaging</p> <p>(a) Paper or microform copy Destroy upon verification that the record copy information has been fully and accurately converted to electronic/optical imaging</p> <p>(b) Electronic/optical image copy PERMANENT Transfer to the National Archives 25 years after last action At the time of transfer, NARA and NCIS will determine medium and format in which records will be transferred as well as their arrangement Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at that time If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform</p> <p>Volume on hand Cannot determine Annual accumulation Situation dependent</p>	<p>NCI-330-76-1/1b(3) and N1-NU-89-4/SSIC 5527/1b(3)</p>	
<p>13d</p>	<p>d <u>Base Access for Organizations/Individuals Servicing DoD Installations</u> Investigative information on organizations/individuals providing commercial services, engaged in contracts, or otherwise engaged in contracts or business enterprises on DoD installations</p> <p>Privacy Act To be determined</p> <p><u>DISPOSITION</u></p> <p>(1) If the contract is in dispute</p> <p>Destroy 1 year after final payment or other settlement</p> <p>(2) All other cases</p> <p>Destroy 1 year after the service is discontinued</p>	<p>NCI-330-76-1/1b(4) and N1-NU-89-4/SSIC 5527/1b(4)</p>	



REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 21 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)
	Privacy Act: To be determined  <u>DISPOSITION:</u>  Destroy no later than 1 year after the event.		
13f	<sup>ND</sup> f. <u>One-Time Requests for Admittance to Installations (Speakers, Bands, Drill Teams, Tour, etc.).</u> Information concerning the organization/individual requesting admittance to the installation.  Privacy Act: To be determined  <u>DISPOSITION:</u>  Destroy no later than 1 year after the event.	NC1-330-76-1/1b(6) and N1-NU-89-4/SSIC 5527/1b(6)	
13g	g. <u>Inquiries from Members of the Public to DoD for Information Relating to DoD Functions or Units, Unit Insignias, Signatures, or Photos of Senior Commanders, etc.</u> Information concerning the collectors of such items.  Privacy Act: To be determined  <u>DISPOSITION:</u>  Destroy when 1 year old, <del>or no longer determined pertinent by an annual review, whichever is earlier.</del>	NC1-330-76-1/1b(7) and N1-NU-89-4/SSIC 5527/1b(7)	
13h	<sup>ND</sup> h. <u>Unsubstantiated Reports to DoD Components from Members of the Public Alleging Imminent Invasion, Plots and Similar Events of a Delusional Nature, and Assorted "Crank" Letters</u> Information concerning the organization/individual providing such details  Privacy Act: To be determined.  <u>DISPOSITION:</u>  Destroy when 1 year old, <del>or no longer determined pertinent by an annual review, whichever is earlier.</del>	NC1-330-76-1/1b(8) and N1-NU-89-4/SSIC 5527/1b(8)	
14.	9. POLYGRAPH EXAMINATION RECORDS (CRIMINAL INVESTIGATIONS).  <sup>ND</sup> a. <u>Polygraph Examinations Conducted in Support of Criminal Investigations (Crim Packages).</u> <del>Copies of</del> Examination records created in support of criminal investigations Includes statistical and technical data sheets, question sheets, charts, numerical evaluation forms, subject statements, consent forms, medical waivers, interview logs, personal data sheets and related documents.  Privacy Act: N05520-4	New	

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 22 OF 26
7 Item NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>5580</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

DISPOSITION:

Retain on board until completion of final quality assurance review.

Incorporate into associated criminal investigation file ~~Dispose of in~~ *file and dispose of*  
~~accordance with guidance for investigative file~~ *with associated criminal investigative records, such as*  
~~SSIC 5580, para. 4a.~~

- 14b b. Polygraph Examiner Certification Records. Polygraph examiner certification information, including applications, recommendations, approvals, disapprovals and related information.

Privacy Act: ~~N05300-2~~ *N01070-12* ~~N0~~

DISPOSITION

Retain on board. Destroy 10 years after separation or retirement of examiner.

15. 10 NATIONAL CRIME INFORMATION CENTER (NCIC) RECORDS. Consists of NCIS controlled Department of Navy entries into FBI's NCIC.

- 15a a Policy guidance and correspondence pertaining to operations of NCIC

Privacy Act: Not applicable

DISPOSITION.

Destroy when superseded, rescinded, or no longer needed.

- 15b b. Backup information on terminal entries into the computer.

Privacy Act: N05520-4

DISPOSITION

(1) Paper copy.

Destroy after related entry is removed from the computer or paper copy has been fully and accurately converted to microfiche.

(2) Microfiche/indices

Retain on board. If space is not available, retire to WNRC. Destroy when all cases on fiche are cleared from NCIC

- 15c. c. FBI validation listings

Privacy Act: To be determined

DISPOSITION:

New

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 23 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <i>5580</i>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

16	<p>Destroy when superseded.</p> <p>11. NAVAL CRIMINAL INVESTIGATIVE SERVICE (NCIS) REGIONAL FORENSIC LABORATORY RECORDS</p>	<i>New</i>	
16a.	<p>a. <u>NCIS REGIONAL FORENSIC LABORATORY REPORTS</u>. Retained information such as copies of laboratory reports and case notes and data collected during forensic examinations</p> <p>Privacy Act: Not applicable</p> <p><u>DISPOSITION:</u></p> <p>(1) Sensitive cases such as internal security, terrorism, death investigations and kidnappings. <i>applicable HND</i> File with case file.</p> <p>(2) All others:</p> <p>Destroy after 5 years.</p>		
16b.	<p>b. <u>NCIS LABORATORY REPORTS OF EXAMINATIONS CONDUCTED FOR NON-NCIS LAW ENFORCEMENT AGENCIES</u>. Laboratory results described in SSIC 5580, para. 11a from non-NCIS law enforcement agencies.</p> <p>Privacy Act: Not applicable.</p> <p><u>DISPOSITION:</u></p> <p>(1) Return requested by submitter.</p> <p>Return to submitter.</p> <p>(2) All others.</p> <p>Destroy after 5 years except: <i>HND</i></p> <p>(3) Sensitive cases such as internal security, terrorism, death investigations and kidnapping.</p> <p>Destroy <del>after</del> 25 years, <i>after completion of report. HND</i></p>		
16c.	<p>c. <u>LABORATORY FINGERPRINT CARD FILES</u>. Consists of original fingerprint cards submitted with evidence or taken by DON designated law enforcement officials and submitted to NCIS Regional Forensic Laboratory for quality review in support of criminal investigations. Also includes indices and other related correspondence.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 24 OF 26
7. Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>5580</b>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

Privacy Act N05520-4

DISPOSITION:

- (1) Fingerprint card set 1

Forward to Federal Bureau of Investigations *7/50*

- (2) Fingerprint card set 2.

Retain on board Destroy when 75 years old.

- (3) Fingerprint card indices and related correspondence.

Destroy when all administrative needs have expired.

16d.

d. MILITARY WORKING DOGS NARCOTIC TRAINING AIDS RECORDS. Listings of narcotic training aids, testing records and other information associated with the controlled substance training aids for the Military Working Dog Program.

Privacy Act: Not applicable.

DISPOSITION:

- (1) When required as evidence.

Apply SSIC 5580 para. 5b.

- (2) All other.

Destroy 2 years after training aid is destroyed.

17.

12. POLICE PROPERTY FILES. Files include location of offenses and name index and reflect the receipt and release of property that is found, impounded, seized as contraband, prohibited, or safeguarded for detained personnel. This includes logs, receipts, releases and disposals and related information.

Privacy Act: Not applicable.

DISPOSITION:

Destroy 2 years after return, release or disposal of property.

18.

13. MARINE CORPS CRIMINAL INVESTIGATION DIVISION (CID) CRIMINAL INVESTIGATIVE REPORTS. Information on any person, civilian or military, or firm involved in or reporting possible criminal activity affecting the U.S. Marine Corps' interests, property, and personnel. This may include information on persons or firms; letters, messages, case

*New*

N1-NU-86-1/SSIC

~~1630/3-2-4~~

*1630/4*

*New*

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 25 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <i>5580 ends 07302 begins</i>	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

notes, or reports on investigations containing witness statements, subject statements, and technical investigative data; requests for and results of polygraph and forensic laboratory examinations, indices containing codes for the type of crime, and agencies, firms, DON, and DoD organizations that were the subject of criminal investigations.

Privacy Act: N05527-1

DISPOSITION:

18a. a. CID field offices

(1) Initial, status and final reports

Transfer original to Dir, NCIS upon case adjudication.

(2) Other copies

Destroy 2 years after date of final report or when no longer needed, whichever is later

18b b. NCISHQ

Apply SSIC 5580, para 4a.

~~7302~~

FUND ACCOUNTING RECORDS

19 10 NAVAL CRIMINAL INVESTIGATIVE SERVICE (NCIS)  
OPERATIONAL FUNDS RECORDS

19a. a. NCIS Collection and Classification of Information (C&CI) Funds Files. Information on the expenditure of funds for expenses incurred in discharging assigned law enforcement and foreign counterintelligence duties not otherwise payable from DON funds. Included are vouchers, subvouchers and supporting information, records of advanced funds, voucher registers, reports, inspections, audits and other information relating to the use of C&CI funds.

Privacy Act: Not applicable.

DISPOSITION:

Destroy 5 years following the end of the fiscal year in which the actions occurred, except:

(1) Records of statement of agent/officer's accounts and emergency/extraordinary expense expenditures held in field offices (absent

New

Apply  
GRS 6,  
Item 1.

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 26 OF 26
7 Item NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION 7302	9 GRS OR SUSPENDED JOB CITATION	10 ACTION TAKEN (PARA USE ONLY)

any discrepancies):

~~Destroy after 3 years~~

(2) Records of claims for confidential funds held in field offices (absent any discrepancies):

~~Destroy after 2 years.~~


- 19b. b. ~~NCIS Special Operations Funds (SOF)~~ Information on the use, administration, supervision, and control of certain funds with DON appropriations reserved for intelligence and related activities as set forth in NAVCRIMININST S5240 (current edition), and not otherwise payable from other DON funds. Included are records of SOF accounts, transactions, appointments, inspections, audits, original supporting documents and other information relating to the use of SOF


Privacy Act. Not applicable.


DISPOSITION.


Destroy after audit by Naval Audit Service or 6 years 3 months following the end of the fiscal year in which the actions occurred, whichever is first


Apply  
GRS 6,  
Item 1.

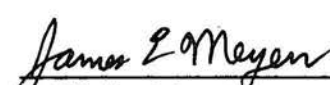
  
Assist Dir for Criminal  
Investigations  
Ernest A. Simon


  
Assist Dir for Counterintelligence,  
Acting  
James A. Austin

  
Assist Dir for Administration  
Franz Schwarm

  
Comptroller  
Kenneth R. Burns

  
Assist Dir for Inspections and  
Planning  
Thomas Fischer

  
Staff Judge Advocate  
LtCol James E. Meyen

  
General Counsel  
Norman F. Kiger