

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0446-2022-0013

Status: APPROVED
Date Approved: 08/25/2023

General Information

Agency or Establishment	Defense Counterintelligence and Security Agency
Record/Scheduling Group	0446 - Records of the Defense Security Service
Records Schedule Applies to	Agency Subdivision
Major Subdivision	Industrial Security
Schedule Subject	Industrial Security Facility Files
Additional Schedule Information	This schedule updates schedule DAA-0446-2017-0001 Industrial Security Case Files.

DCSA maintains the official records of contractor facilities involved in the National Industrial Security Program (NISP) in accordance with DoD Manual 5220.32 Volume 1, National Industrial Security Program: Industrial Security Procedures for Government Activities and DoD Manual 5220.32 Volume 2, NISP Procedures for Government Activities Relating to Foreign Ownership, Control, or Influence (FOCI). The availability and accuracy of these files affect the agency's ability to respond to information requests from Congress and other governmental activities. The National Industrial Security System (NISS) is the primary repository for these files. NISS is maintained by the DCSA Program Management Office, Systems Management Branch.

Electronic files will be maintained by the facility's assigned industrial security oversight personnel in NISS. NISS tracks facility clearance information including facility clearance requests, facility verification requests and notifications that are sent when facility profile information or documentation changes. The system also provides a reporting capability to extract large sets of data. The major components of the system are described below:

Facilities Management allows the user to search facilities, view facilities, and generate standard and ad hoc reports. Facilities Management provides the capability for industrial security personnel to input actions performed directly related to oversight of cleared contractors, and the time associated with those actions.

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The Facility Clearance Sponsorship Process allows the user to search and submit clearance requests. A clearance request is submitted when a user agency, facility, or other entity requests a clearance for the facility and initiates the clearance process. Email notifications are sent to the requestors when the clearance is issued.

Facility Verification Requests allow the user to search existing verification requests, submit verification requests, and view verifications. A Facility Verification Request is submitted when a requestor (user agency or a facility) needs to verify facility clearance information and/or wishes to be notified when certain information about a facility changes.

User Management allows the user to update user information. The system also provides separate online user's manuals for the external and internal users.

Within each Facility Profile, the Documents section allows users to store and categorize uploaded documents. Available category fields for each document are: Document Type, Description, Date Uploaded, and Notes. The Documents section is only visible and usable to DCSA internal users. External users cannot see or modify documents within the Documents section. However, other modules within NISS allow DCSA internal users and external users to exchange documents and information.

Within each Facility Profile, the Actions section allows users to log facility clearance oversight actions. Available category fields for each facility action are: Facility Action Type, Facility Action Subtype, Date of Event, Travel Time, Action Time, and Summary. Users will never delete facility actions from the facility profile unless the action was entered in error. However, since facility actions are part of the facility profile, facility actions will be deleted when the facility profile is deleted in accordance with this records retention policy. The Actions section is only visible and usable to DCSA internal users, with the exception of limited viewable data to external users within the Security Review – Review action subtype.

NISS contains the following types of information: Facility Overview

- Overview

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- FCL Information
- Addresses
- KMP
- Contacts
- Prior Names and Aliases
- Prior Legal Names
- Business Plan Business Information
- General Business Information
- Legal Structure
- Government Customers and Programs
- Classified Subcontractors

Foreign Ownership, Control and Influence (FOCI) & International

- Adjudication
- Foreign Ownership
- Foreign Visits
- Foreign Travel
- Foreign Government Information
- Exports
- Freight Forwarding

Safeguarding

- General Safeguarding
- COMSEC
- Safeguarding Off-Sites
- Safeguarding Notes

Actions & Documentation

- Facility Actions

National Archives and Records Administration
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Records Schedule Number: DAA-0446-2022-0013

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- Sponsorship Submissions
- Briefings
- Self-Inspections
- Facility Messaging
- Facility Profile Documents

Other

- Change condition packages
 - DCSA field offices
 - Industrial security announcements and system alerts
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Is there a classified version of this form? No

Is consultation and coordination with Tribal Governments required? No- The records covered by this schedule do not implicate Tribal interests

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Item Count

Total number of disposition items: 1

Number of Temporary disposition items: 1

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0446-2022-0013

Item #	Title	Disposition
0001	Electronic Files	Temporary

National Archives and Records Administration
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Records Schedule Items

DAA-0446-2022-0013-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Electronic Files	
Item Description	<p>Electronic files included in the NISS, which contains the following types of specific facility information:</p> <ul style="list-style-type: none">•Facility Profiles of Terminated Facilities (former Disposition Authority Number DAA-0446-2017-0001-0002). Includes: all facility profiles and associated data of terminated facilities that do not have associated FOCI mitigation agreements under 10 years of age and all facility profiles of terminated facilities that have associated FOCI mitigation agreements under 15 years of age. Metadata associated with these files will be retained by DCSA per 36 CFR 1236.12 and 36 CFR 1236.14.•Facility Clearance (FCL) Information of Facilities with an Active FCL (former Disposition Authority Number DAA-0446-2017-0001-0004). Includes: Sponsorship Submissions; current DD Form 441 (Department of Defense Security Agreement); current DD Form 441-1 (Appendage to Department of Defense Security Agreement) as applicable; Standard Form 328 (Certificate Pertaining to Foreign Interests) and associated information (e.g., Foreign Ownership, Control and Influence mitigation agreements); current information and documentation relative to key management personnel (KMP) eligibility and access determinations including new KMP appointments, establishment of executive committees, and board exclusion resolutions; correspondence regarding the status of the FCL, including upgrade, termination, and invalidation; change condition packages; waivers; and other necessary facility oversight information.	

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

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- Significant Correspondence between Contractor and DCSA of Facilities with an Active FCL (former Disposition Authority Number DAA-0446-2017-0001-0005). Includes: correspondence regarding the security review, such as the security review notification letter, letter to the management outlining the results of the security review, and the contractor's response to the security review results letter; correspondence regarding other engagements conducted by DCSA personnel with the contractor; facility clearance oversight approval actions; advice and assistance provided to the contractor; and other significant correspondence resulting in a facility clearance oversight action.
- Security Violation Information of Facilities with an Active FCL (former Disposition Authority Number DAA-0446-2017-0001-0006). Includes: security violation and inquiry information, including a copy of the violation report with the violation's processing documentation.
- International Involvement Information of Facilities with an Active FCL (former Disposition Authority Number DAA-0446-2017-0001-0007). Includes: government-to- government transmissions of classified information and copies of transportation plans; classification guidance for foreign classified contracts issued on U.S. Government contracts, similar to a DD Form 254 (Contract Security Classification Guidance); export authorizations (e.g., DSP-85, Manufacturing License Agreements, or Technical Assistance Agreements); copies of international security violation reports; technology control plans (TCPs); program/project security instructions; and other necessary international information.

National Archives and Records Administration
 REQUEST FOR DISPOSITION AUTHORITY

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•Safeguarding and Security Program Information of Facilities with an Active FCL (former Disposition Authority Number DAA-0446-2017-0001-0008). Includes: special security requirements (unrelated to Special Access Programs); open storage area approvals, as recorded on DCSA Form 147 (Open Storage Approval Checklist); documentation concerning security-in-depth determinations issued under DoD 5220.22-M National Industrial Security Program Operating Manual, which was superseded on February 24, 2021 by 32 CFR Part 117 National Industrial Security Program Operating Manual; long term and special foreign visitor agreements; consultant agreements; government-required briefings; DCSA Form 217 (DCSA COMSEC Report) and any COMSEC account correspondence; DCSA approval letters for the use of destruction equipment and public destruction facilities; documentation on currently approved contractor offsite locations (i.e., contractor locations considered to be an extension of the main contractor facility where classified work is performed); other necessary safeguarding related documentation; and a consolidated list of accredited IS. The system of record for classified Information Systems is the NISP Enterprise Mission Assurance Support Service (eMASS).

• Contracts Requiring Access to Classified Information of Facilities with an Active FCL (former Disposition Authority Number DAA-0446-2017-0001-0009). Includes: list of classified contracts; DD Forms 254 (Contract Security Classification Specification); classification guides, typically referenced in the DD Form 254; and other contract related information.

Is this item media neutral?	No
Media limitation	Digital only
Is this item a Big Bucket?	No

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities?	Yes
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Superseded Items

Superseded Item	Item Superseded in Part?	Explanation
DAA-0446-2017-0001-0002	No	
DAA-0446-2017-0001-0004	No	

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DAA-0446-2017-0001-0005	No
DAA-0446-2017-0001-0006	No
DAA-0446-2017-0001-0007	No
DAA-0446-2017-0001-0008	No
DAA-0446-2017-0001-0009	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Facility profiles of terminated facilities that do not have associated FOCI mitigation agreements will be deleted from NISS 10 years after facility termination. Facility profiles of terminated facilities that have associated FOCI mitigation agreements will be deleted from NISS 15 years after facility termination.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	Yes
GAO Approval Required	No

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Signatory Information

Action	User	Date
Accept	Data Migration	05/11/2022
Approve	Colleen Shogan	08/25/2023