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**Date:** June 5, 2017  
**Appraiser:** Lisa Clavelli & Meredith Scheiber, ACRA  
**Agency:** Central Intelligence Agency  
**Subject:** N1-263-13-1

## **INTRODUCTION**

### **Schedule Overview**

Flexible RCS - Temporary 30-year Series

### **Additional Background Information**

#### **Organization**

The Central Intelligence Agency (CIA) is an independent agency responsible for providing intelligence on a wide range of national security issues to senior U.S. policymakers. The Director of the Central Intelligence Agency (D/CIA) is nominated by the President and confirmed by the Senate. The Director manages the operations, personnel and budget of the Central Intelligence Agency and acts as the National Human Source Intelligence (HUMINT) Manager.

The CIA is organized into five basic components: the Directorate of Operations, the Directorate of Analysis, the Directorate of Science & Technology, the Directorate of Support, and the newly established Directorate of Digital Innovation. Directorates carry out “the intelligence cycle,” the process of collecting, analyzing, and disseminating intelligence information to top US government officials. In addition, the D/CIA has several staffs that deal with public affairs, human resources, protocol, congressional affairs, legal issues, information management, and internal oversight.

#### **Background**

Prior to the completion of NARA job number N1-263-12-1, the CIA had 1,390 approved record series. In preparing the Flexible Records Control Schedule (RCS) the Agency mapped the 1,390 retention categories into five retention categories in an effort to more efficiently facilitate the Agency’s ability to manage information.

This effort simplifies and streamlines the CIA’s existing disposition authorities by aligning records series to business functions and consolidating identical or similar retention periods. It also incorporates new functions or updated descriptions (as appropriate), and maps to record locations. Pursuant to 36 CFR 1225.12(e), the Flexible RCS is media neutral and can be applied to records in any format (legacy and day forward), including electronic records. This is the second of four temporary schedules to be appraised and includes records with a 30-year retention.

## **Implementation**

In terms of the larger perspective of implementation of the overall updated RCS, the Flexible RCS and all applicable General Records Schedule (GRS) items will be programmed into the Agency's records center management software. Internal processes, such as records inventories, will be updated to incorporate all relevant information and features associated with the new RCS items. These processes will address when it is applicable to use the GRS dispositions to implement disposition on the records. The new Flexible RCS will be posted to the Agency's internal Records Management website where it will be accessible and searchable by all staff. Training will be developed to familiarize users with the new schedules and format. Training modules will be customized to match end users' needs regarding the new RCS (file plans will only reflect RCS items which are applicable to the end user). Training will be delivered to Agency stakeholders and a marketing plan will be developed to ensure RCS approval and implementation is disseminated within IMS before communicated as a whole to the Agency; all RCS citations will be updated in all related print and online Agency resources such as internal Agency policies; information regarding RCS training will be shared with IMS staff and any other stakeholders; and additional assistance will be provided to Agency staff such as FAQs and Brown Bags as needed to assist IMS staff during the transition to the Flexible RCS.

Following implementation of the Flexible RCS, IMS staff will work with staff to ensure they are implementing all schedules correctly and respond to end user questions. IMS staff will conduct quality assurance to ensure the RCS is being implemented properly in IMS business processes across the Agency including; retirement of hard copy records to the Agency Records Center; management of soft copy records; and Information Management approval of new IT systems in development.

The following applies to all items.

- Records on this schedule were previously approved as temporary, excluding item 30-5b, in comprehensive scheduling efforts undertaken by the Agency primarily in 1977, 1984, and 1985. The core work of CIA has not changed; just the means by which the work is done.
- The full text records schedule and crosswalk are classified at the Secret level and include the list of previously approved authorities. CIA was required to provide a public use version of the series titles to satisfy requirements for the Federal Register process and to keep the appraisal report unclassified. Item titles from this public use version are exclusively used in this report.
- The schedule is media neutral and can be used to disposition records in any format, including electronic records.
- In lieu of a stand-alone crosswalk, CIA chose to include information typically found on a crosswalk as part of the records schedule itself.

## **Overall Recommendations**

We recommend approval of the attached schedule.

## **Appraisal**

### **Item 30-1a Reports of Workers Compensation for Employees who are out of country**

This item consists of reports related to workers compensation claims. For the majority of Federal government employees this process is adjudicated by the Department of Labor (DOL). These records cover a classification of employees for which the Agency processes the workers compensation claim instead of DOL. Records produced as part of the process for CIA are the same that would be produced

by DOL for claims processed of other agencies' employees. During the appraisal ACRA confirmed this item has no relationship to records found in Retirement Reports and Registers; and Retirement Investment Plans (N1-263-12-2).

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

- Similar records have been approved as temporary; GRS 2.4, item 101, Workers' Compensation (personnel injury compensation) records. Due to the nature of the classification of CIA employees, workers compensation claims cannot be processed under standard Federal Employees' Compensation Act (FECA) processes and the GRS does not apply to these records.
- Previously approved as temporary: a full list of previously approved authorities and item numbers are noted on the full text records schedule.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The agency is requesting a deviation from the GRS.

**Media Neutrality:** Approved.

### **Item 30-1b: Sensitive Personnel Records**

This item was not included on the submission sent for Initial Review. The Agency overlooked this item in drafting the schedule.

Included are case files received by the Office of Security (OS) from offices within the Agency that have investigative responsibility, e.g., the Inspector General, Office of Security, and Counterintelligence. These case files may relate to civil, criminal, or employee behavioral conduct issues. OS reviews the file to determine whether disciplinary action is necessary and/or if there are suitability concerns. OS examines the case file to determine if the documented employee conduct warrants potential serious disciplinary action and convening the Personnel Evaluation Board (PEB). The PEB may make a recommendation to the Chief of Human Resources on what, if any, administrative or disciplinary action should occur. Lesser disciplinary actions are referred back to the office. This item includes all case files regardless of whether they were referred to the PEB. By the time OS or the PEB receive this information investigations will have already occurred and are not conducted at this stage.

This item, although similar in topic and function, does not include civilian personnel records related to supervision and management of civilian employees that are scheduled in GRS 1, Civilian Personnel Records.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

- Captured elsewhere in permanent records. Cases referred to the PEB will be documented in records of PEB meetings, which have been appraised as permanent in job number N1-263-12-1, item P-2, Committees, Task Forces, Boards and Councils Records.
- Similar records have been approved as temporary; Defense Logistics Agency, DAA-0361-2014-0014, item 0002, Personnel Security Clearance, Suitability and HSPD-12 Case Files. Investigative Files, Potentially Actionable.
- Previously approved as temporary: a full list of previously approved authorities and item numbers are noted on the full text records schedule.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The Agency is seeking to extend the previously approved retention period to meet current business needs.

**Media Neutrality:** Approved.

**Item 30-2a: Medical Records for Agency Employees**

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

- Has little or no research value. Employee Medical Folders are covered by GRS 1, item 21, Employee Medical Folders. CIA is not subject to the Office of Personnel Management's (OPM) recordkeeping authority and have their own authority to maintain medical records. Since the CIA does not fall within OPM's recordkeeping authority, the GRS does not apply to these records.
- Previously approved as temporary: a full list of previously approved authorities and item numbers are noted on the full text records schedule.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. Since CIA is an excepted agency to OPM requirements, they are requesting a deviation from the GRS.

**Media Neutrality:** Approved.

**Item 30-3a: Declassification Referral Files**

This item covers records created as a result of automatic and systematic declassification referrals under Executive Order 13526. The declassification referral files also include referrals for mandatory declassification requests; FOIA/Privacy Act requests; requests from Congressional oversight committees, commissions, or the White House.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

- Similar records have been approved as temporary. A portion of this record series would be covered by GRS 4.2, item 100, Automatic and Systematic Declassification Review Program Records and GRS 4.2, item 020, Access and Disclosure Request Files.
- Previously approved as temporary: a full list of previously approved authorities and item numbers are noted on the full text records schedule.
- Has little or no research value. The records are facilitative in nature and do not warrant preservation beyond Agency business needs. Record copies of reviewed/referred/requested documents remain covered by their original disposition authority.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The agency is requesting a deviation from the GRS.

**Media Neutrality:** Approved.

**Item 30-4a: Personality Files with Counterintelligence Interests**

Files in this item relate to assets whose role is inconclusive and it has been determined they are not involved in an unusual or significant case, do not involve a notable person or person whose name is generally recognized, or do not receive public or congressional attention. The value of the content of the files is determined by subject matter experts using established business processes and the program office.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

- Similar records have been appraised as temporary; job number N1-263-12-2, item 75-2a, Personality Files of Collaborators. These records are a subset of Intelligence Collection and Operation Records and the larger business processes associated therein.
- Previously approved as temporary: a full list of previously approved authorities and item numbers are noted on the full text records schedule.
- Those files related to an unusual or significant case, involve a notable person or person whose name is generally recognized, or receive public or congressional attention have been appraised as permanent in job number N1-263-12-1, item P-15, Intelligence Collection and Operation Records.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved.

**Item 30-5a: Personnel Security Records**

During appraisal, ACRA confirmed these records align to the case files found in GRS 5.6, item 181 Personnel security and access clearance records-records of persons issued clearances.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

- Has little or no research value. This item includes records covered by GRS 5.6, item 181, Personnel security and access clearance records-records of persons issued clearances.
- Previously approved as temporary: a full list of previously approved authorities and item numbers are noted on the full text records schedule.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The agency is requesting a deviation from the GRS .

**Media Neutrality:** Approved.

**Item 30-5b: Unauthorized Releases of Classified Information Records**

This item includes case files relating to investigations of alleged violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information, including those referred to the Department of Justice (DOJ) or Department of Defense (DoD). This records series was previously approved as permanent in 1977 prior to the 1981 issuance of GRS 18, item 24a and 24b, Security Violation Files. In CIA's comprehensive rescheduling efforts in 1984 it was not reappraised nor did CIA revert to the use of the GRS as should have occurred. At this time, NARA has properly aligned the records to the GRS as should have been done in 1984. ACRA's appraisal confirmed the records matched the GRS in content and function, however, the agency has a business need to retain the records longer.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

- Has little or no research value. These records are covered by GRS 5.6, item 200 Information security violations records.
- Captured elsewhere in permanent records; job number N1-263-12-1, item P-11, Legal Records on Significant Litigation Cases or Investigation Matters, Precedent-Setting Opinions, and Formal Agreements. Cases on significant unauthorized releases are sent to the CIA Office of General Counsel to handle internally. Cases may also be referred to DOJ or DoD.

- Similar records have been approved as temporary; National Reconnaissance Office, N1-525-12-7, item 700-04, Protective Services and Other Routine Security Files, which includes security violations case files.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The agency is requesting a deviation from the GRS.

**Media Neutrality:** Approved.

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