

PENDING - NOT APPROVED FOR USE

Request for Records Disposition Authority

Records Schedule Number DAA-0457-2017-0003

Schedule Status Appraiser Working Version

Agency or Establishment National Security Agency/Central Security Service

Record Group / Scheduling Group Records of the National Security Agency/Central Security Service

Records Schedule applies to Major Subdivision

Major Subdivision Strategic Plans and Policy

Schedule Subject Pre-Publication Review Files

Internal agency concurrences will be provided No

Background Information This revision distinguishes different retention periods between the Permanent record (agency or mission-related items) category and the Temporary record category (not agency or mission-related items)

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	1	2	0

GAO Approval

0002

Outline of Records Schedule Items for DAA-0457-2017-0003

Sequence Number	
1	Pre Publication Review Files
1.1	High Profile Pre-Publication Review Files. Disposition Authority Number: DAA-0457-2017-0003-0001
1.2	Routine Pre-Publication Review Files Disposition Authority Number: DAA-0457-2017-0003-0002
1.3	Pre-Publication Resume Files Disposition Authority Number: DAA-0457-2017-0003-0003

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Records Schedule Items

Sequence Number																			
1	<p>Pre Publication Review Files This revision of a previously authorized category (N1-457-89-1) entitled the same, further distinguishes between items identified as permanent versus temporary record categories.</p>																		
1.1	<p>High Profile Pre-Publication Review Files.</p> <p>Disposition Authority Number DAA-0457-2017-0003-0001</p> <p>Material related to the agency's current or past mission or is related in way to predecessor missions and activities, or is otherwise of a high-profile nature. High-profile is defined as material developed by: existing and former agency senior leadership (defined as the NSA Director, Deputy Director, heads of the Directorates, or those acting on their behalf); material that is subject of congressional, judicial, executive branch inquiry, investigation, or litigation; material that becomes the subject of nationwide media coverage; and, material that results in a change to NSA mission. This may include conference papers, speeches, university papers, and information being prepared for release by former and current agency employees.</p> <table border="0"><tr><td>Final Disposition</td><td>Permanent</td></tr><tr><td>Item Status</td><td>Pending</td></tr><tr><td>Is this item media neutral?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>No</td></tr></table> <p>Disposition Instruction</p> <table border="0"><tr><td>Cutoff Instruction</td><td>Cutoff when review is complete</td></tr><tr><td>Transfer to the National Archives for Accessioning</td><td>Transfer to the National Archives 25 year(s) after cutoff</td></tr></table> <p>Additional Information</p> <table border="0"><tr><td>First year of records accumulation</td><td>1993</td></tr><tr><td>What will be the date span of the initial transfer of records to the National Archives?</td><td>Unknown Unknown</td></tr><tr><td>How frequently will your agency transfer these records to the National Archives?</td><td>Unknown Unknown</td></tr></table>	Final Disposition	Permanent	Item Status	Pending	Is this item media neutral?	Yes	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	Cutoff Instruction	Cutoff when review is complete	Transfer to the National Archives for Accessioning	Transfer to the National Archives 25 year(s) after cutoff	First year of records accumulation	1993	What will be the date span of the initial transfer of records to the National Archives?	Unknown Unknown	How frequently will your agency transfer these records to the National Archives?	Unknown Unknown
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First year of records accumulation	1993																		
What will be the date span of the initial transfer of records to the National Archives?	Unknown Unknown																		
How frequently will your agency transfer these records to the National Archives?	Unknown Unknown																		

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1.2

Routine Pre-Publication Review Files

Disposition Authority Number DAA-0457-2017-0003-0002

Documents of a more routine nature, such as job descriptions and biographies. Includes all pre-publication review that are not related to the agency's mission or activities, but are submitted as contingent to pre-publication requirements, and does not meet the criteria for inclusion in item 0001. Does not include resume files, which are covered by a separate disposition authority.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year. Maintain inactive files for one year after cut off.

Retention Period Destroy 2 year(s) after cutoff

Additional Information

GAO Approval Required and Received

1.3

Pre-Publication Resume Files

Disposition Authority Number DAA-0457-2017-0003-0003

Resumes of current and former agency employees reviewed prior to public release and related supporting documentation for approval or denial of release either for employment or training opportunities or as biographical details provided for other external forums or entities.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority N1-457-11-002 / 1
Citation

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Disposition Instruction

Cutoff Instruction

Cutoff upon completion of review

Retention Period

Destroy 25 year(s) after cutoff

Additional Information

GAO Approval

Not Required

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Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
03/31/2017	Certify	NSA One	NSA User	NSA - NSA
09/20/2018	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
09/21/2018	Submit For Certification	NSA One	NSA User	NSA - NSA
09/21/2018	Certify	NSA One	NSA User	NSA - NSA

These documents were requested and posted by AltGov2

www.altgov2.org/records-destruction-requests

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Executive Summary

Summary

Permanent Item Numbers 0001

Federal Register Notice

Publication Date

Copies Requested 0

Comments Received 0

LRC 4/7/2018

Date: 7 March 2018
Appraiser: Sean A. Curry, ACR2
Agency: National Security Agency / Central Security Service
Subject: DAA-0457-2017-0003

INTRODUCTION

Schedule Overview

Pre-Publication Review Files

Background

The National Security Agency (NSA) is required to carry out the pre-publication review of any material created by employees or other stakeholders that have (or had) access to classified NSA material, or are otherwise representing NSA and its processes in an outward facing product (such as a presentation, publication, etc.). The pre-publication review process, therefore, primarily includes material that needs to be reviewed before being presented in a public setting or forum to ensure that the material does not include information inappropriate for public dissemination.

Additional Background Information

This schedule will be implemented starting in 1993. Records prior to 1993 will be disposed of under the existing records schedule, N1-457-89-01 (item 305-14) this schedule does NOT supersede the 1989 schedule. This decision was made due to two factors: 1) pre publication review began to include significantly more routine items (such as job descriptions) starting around 1993, and 2) this allows for easier implementation on the part of NSA, as records prior to 1993 have either already been transferred to the National Archives, or will be soon.

Overall Recommendation

I recommend approval of the attached schedule, with one or more changes as provided below.

APPRAISAL

Item 0001: Pre Publication Review Files

NOTE: NSA will be required to change the title of this item in order to differentiate between

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items 0001 and 0002, which were submitted with identical titles (albeit with different descriptions and disposition instructions). Item 0001 will be changed to “High Profile Pre-Publication Review Files” and item 0002 will be changed to “Routine Pre-Publication Review Files.”

NSA will also be required to revise the series description to better illustrate the criteria for when a record falls into this item/category. The new description will read “Material related to the agency’s current or past mission or is related in way to predecessor missions and activities, or is otherwise of a high-profile nature. High-profile is defined as material developed by: existing and former agency senior leadership; material that is subject of congressional, judicial, executive branch inquiry, investigation, or litigation; material that becomes the subject of nationwide media coverage; and, material that results in a change to NSA mission. This may include conference papers, speeches, university papers, and information being prepared for release by former and current agency employees.”

NSA will also be required to remove reference to N1-457-89-01 as the Superseded Authority Citation. As stated above, this schedule does not superseded that authority. The 1989 schedule will continue to serve as the active authority for records pre-dating 1993.

NSA will be required to add “1993” to the “First year of records accumulation” field.

Records within this item cover a wide range of subjects, with the common theme that these records specifically relate to NSA mission and policy, OR are otherwise high profile (which will distinguish this item from item 0002). High profile is defined within existing agency business processes and implemented by subject matter experts. Files generally contain the document/material being reviewed, correspondence (mostly email) related to the review, NSA Chief Information Officer (CIO) approval documentation, management approval documentation, and Department of Defense approval documentation when required. Many files also include review checklists. As an example, publications of former NSA Director Michael Hayden that require pre-publication review are included in this item.

Records prior to 2015 are exclusively maintained in paper. Beginning in 2016 the recordkeeping copy moved exclusively to electronic. Formats meet the appropriate NARA requirements: PDF or Microsoft Office application files (PowerPoint, etc.). The paper volume (2015 and earlier) is approximately 240 cubic feet, but it is anticipated that this number will decrease. NSA Records Management staff implement this schedule, and apply criteria to the records that will fit into proposed item 0002. Due to the nature of the records and the process, the majority of the records will be unclassified at the time of transfer to NARA.

Proposed Disposition: Permanent

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Documents significant actions of Federal officials.
- * Similar records have been approved as permanent, N1-457-89-01, 305-14, Pre-Publication Review Files. This new submission allows for the creation of a temporary category to cover those records that are more administrative in nature.

Adequacy of Proposed Transfer Instructions: Requires Change. NSA will be required to change the cutoff instructions to read “Cutoff when review is complete.” “Transfer to Inactive Storage” instructions will be removed. “Transfer to the National Archives for Accessioning” instructions will be changed to “Transfer to the National Archives 25 year(s) after cutoff.”

Media Neutrality: Approved.

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Item 0002: Pre Publication Review Files

NOTE: NSA will be required to change the title of this item in order to differentiate between items 0001 and 0002, which were submitted with identical titles (albeit with different descriptions and disposition instructions). Item 0001 will be changed to “High Profile Pre-Publication Review Files” and item 0002 will be change to “Routine Pre-Publication Review Files.”

NSA will also be required to revise the series description to better differentiate this item from item 0001. The new description will read: “Documents of a more routine nature, such as job descriptions and biographies. Includes all pre-publication review that are not related to the agency's mission or activities, but are submitted as contingent to pre-publication requirements, and does not meet the criteria for inclusion in item 0001. Does not include resume files, which are covered by a separate disposition authority.”

NSA will be required to change the “GAO concurrence” tab to “required and received,” and will attach a copy of the received GAO concurrence to the schedule as required by 36 CFR 1225.20.

Compared to item 0001, this item will contain the ever-growing volume of routine, or non-mission related, material. This includes such things as biographies, job descriptions, questions and answers for industry publications, photograph taglines, logos, and other routine material. As an example, this appraisal report will go through NSA pre-publication review, and would be included in this category.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Does not document significant actions of Federal officials.
- * Captured elsewhere in permanent records. Pre-Publication Review related to NSA mission or are of high-profile interest are proposed for permanent retention in item 0001 of this schedule.

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

Media Neutrality: Approved.

During appraisal, it was discussed to add the following new item to this schedule. This item was originally submitted on a separate schedule (DAA-0457-2017-0004), and was withdrawn due to the relationship between that schedule and this one. Both NSA and ACR2 determined that given the relationship of the records it was more appropriate to combine the schedules.

NEW ITEM: Pre-Publication Resume Files

Resumes of current and former agency employees reviewed prior to public release and related supporting documentation for approval or denial of release either for employment or training opportunities or as biographical details provided for other external forums or entities.

Item supersedes item N1-457-11-02, item 1, Resumes: Pre-Publication Review

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Disposition: Temporary. Cutoff upon completion of review. Destroy 25 years after cutoff.

Item 0003: Pre-Publication Resume Files

This item represents resumes, which fall into the administration category of records, but in which NSA has identified a business need to retain for longer than other administrative records within this schedule (item 0002).

Proposed Disposition: Temporary

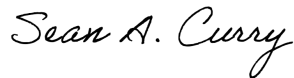
Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously approved as temporary, job number N1-457-11-02, item 1 "Resume- Pre-Publication Review." This new item reduces the retention period from 40 years to 25 years, which is more in line with NSA business needs.
- * Captured elsewhere in permanent records. Records related to NSA mission or are of high-profile interest are proposed for permanent retention in item 0001 of this schedule.

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

Media Neutrality: Approved.



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