

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-065-09-31</i>	
TO NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>9/4/09</i>	
1 FROM (Agency or establishment) DEPARTMENT OF JUSTICE		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 FEDERAL BUREAU OF INVESTIGATION			
3 MINOR SUBDIVISION RECORDS MANAGEMENT DIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Teresa C. Sharkey, CRM	5 TELEPHONE NUMBER 703-504-0328	DATE <i>29 Sept 10</i>	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 <u>11</u> page(s) are not needed now for the business for 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 <i>8/27/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>William K. Hooton</i>		TITLE ASSISTANT DIRECTOR
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p align="center">National Name Check Program (NNCP) Records</p> <p>The National Name Check Program's (NNCP) mission is to disseminate information from FBI files in response to name check requests received from federal agencies, components within the legislative, judicial, and executive branches of the federal government, foreign police and intelligence agencies, and state and local law enforcement agencies within the criminal justice system</p> <p>This schedule complies with the Freedom of Information Act 5 U S C Section 552</p> <p>The NNCP has its genesis in Executive Order 10450, issued during the Eisenhower Administration This executive order addresses personnel security issues and mandated National Agency Checks (NACs) as part of the pre-employment vetting and background investigation process The FBI is a primary source of NACs conducted on all U S government employees</p>		

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	<p>Name checks are requested by agencies seeking background information from FBI files on individuals before bestowing a privilege such as government employment or an appointment, a security clearance, attendance at a White House function, a Green card or naturalization, admission to the Bar, or a visa for the privilege of visiting our homeland. More than 80 federal and state agencies regularly request FBI name checks. In addition to serving federal, state, and local government agencies, the NNCP conducts numerous name searches in direct support of the counterintelligence, counterterrorism and homeland security efforts of the FBI.</p> <p>PROCESS</p> <p>The FBI receives name check requests from agencies primarily via electronic media. The data from the electronic media is imported into the Name Check Program (NCP) (Item 1 A) where electronic batch submissions are searched against the FBI's Automated Case Support (ACS) System's Universal Index (UNI). The majority of the searches are returned as "No Record," which indicates UNI contains no identifiable information regarding a particular individual. In FY 2007, the FBI received 4,071,020 name check requests and about 99 percent of the requests had "No Record" in the UNI.</p> <p>The remaining names along with FBI case numbers and serial information that may relate to the name are imported into the Name Check Dissemination Database (NCDD) (Item 2 A 1). Staff uploads "Images of FBI Case Files" (Item 2 A 2) into NCDD and review the information. Ultimately, upon review by name check research analysts and supervisor research analysts, name checks are given a final result, which is communicated back to the requesting agency, along with any necessary copies of derogatory information.</p> <p>This schedule covers the following three information systems: the Name Check Program (NCP) (Item 1), the Name Check Dissemination Database (NCDD) (Item 2), and a National Name Check Program Online Report System (Item 3) used for reports. In addition, this schedule covers records related to the systems, which are included under "Related Records" (Item 4).</p> <p>This schedule is media neutral.</p>		

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	<p>1. Name Check Program (NCP)</p> <p>The Name Check Program (NCP) is a batch application designed to search requested names against UNI using search criteria tailored by the requesting agency</p> <p>A. Inputs</p> <p>Name check requests are typically input into NCP via electronic media but some requests are manually input Also agency information is input into NCP</p> <p>1. Name Check Requests via Electronic Media</p> <p>Agencies that submit name check requests via electronic media are batch processed The electronic media contains information in Machine Readable Data (MRD) format that generally includes a summary file with the agency code, contact information, and number of records, and a subject file with the names of individuals</p> <p>Disposition Note Agency Electronic Media are returned to the agency (See "Agency Electronic Media" (Item 1 C 1))</p> <p>2. Manual Name Checks</p> <p>Some name check requests are received via telephone or fax and are processed manually Information related to the name checks is manually keyed into the NCP In addition, once name checks are completed in NCDD, staff updates information in NCP</p> <p>Disposition Note Records related to the requests, such as forms, faxes or emails are to be retained in accordance with "Summary Files" (Item 4 A)</p> <p>3. Agency Information</p> <p>This information includes, but is not limited to, agency name, name search criteria, and billing information</p> <p>Disposition See "Data Files" (Item 1 B 2)</p>		

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	<p>B. Data Files</p> <p>These files include information, as described in Inputs (Item 1 A) and file batch search results data</p> <p>1. Data Related to Name Checks</p> <p>Disposition TEMPORARY File cut-off end of the calendar year in which the name check was completed Delete/Destroy 7 years after file cut-off</p> <p>2. Agency Information</p> <p>Disposition TEMPORARY Delete/Destroy 7 years after an agreement between the FBI and Agency terminates</p> <p>C. Outputs</p> <p>1. Updates to Agency Electronic Media</p> <p>NCP updates names to show the results of batch searches which include "No Hits", "Errors", and "Pending" If NCP identifies one or more possible matches for a name, a "Possible Identification" result is updated on the original electronic media and the "Possible Identification" records are input into NCDD (Item 2 A 1) for staff review</p> <p>Disposition TEMPORARY Electronic Media is returned to the agency and data remains in the system in accordance with "Data Files" (Item 1 B)</p> <p>2. "Possible Identification" Name Checks</p> <p>If NCP identifies one or more possible matches in ACS, the batch process leads to a "Possible Identification" result The data for "Possible Identification" results are output from NCP in a flat file for staff review, which is input into NCDD (Item 2 A 1)</p> <p>Disposition See " 'Possible Identification' Name Check Data"(Item 2 A 1)</p> <p>3. Data for Online System</p> <p>Data that replicates information in NCP is output from NCP and input into "National Name Check Program Online Report System" (Item 3) that is used to generate reports that are available to staff on the FBI's Intranet</p> <p>Disposition See "National Name Check Program Online Report System" (Item 3)</p>		

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	<p>4. Statistical Reporting</p> <p>These records include management reports and statistical information</p> <p>Disposition TEMPORARY Delete/Destroy when no longer required for business purposes <i>GRS 20/12 + 16</i></p> <p>D. System Documentation</p> <p>These files include specifications, design criteria, codebooks, record layouts, search tools and their dates of usage, change management requests, data dictionaries, and related information</p> <p>Disposition TEMPORARY Delete/Destroy when superseded, obsolete or when related data files are destroyed, whichever is applicable <i>GRS 20/11</i></p> <p>E. Audit Records</p> <p>The records include information useful in performing audits on systems operation, such as the date and time of record entries and updates and system inquiries</p> <p>Disposition TEMPORARY Delete/Destroy with the related "Data Files" (Item 1 B), <i>7 years after end of CY.</i></p> <p>2. Name Check Dissemination Database (NCDD)</p> <p>The Name Check Dissemination Database (NCDD) was implemented in 2004 and is the system used for reviewing names that have a "Possible Identification" in FBI records. The names are imported into NCDD from NCP (Item 1 C 3), which begins the process of review and analysis of the FBI's paper and electronic records to identify any relevant or derogatory information that may be disseminated to the requesting agency. Staff review and analyze potential identifiable documents to determine whether a specific individual has been the subject of or mentioned in any FBI investigation(s), and if so what (if any) relevant information may be disseminated to the requesting agency. When an electronic record is available to review, the review is performed electronically, if the record is in hard copy, the record is either located and scanned and made available to staff or in the case where records are not located at HQ other arrangements are made to review the file.</p>		

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	<p>A. Inputs NCDD inputs include data from NCP, images of FBI records and other information, such as Electronic Communications, Letterhead Memorandum, emails and information regarding the name check and the analysts' notes</p> <p>1. "Possible Identification" Name Check Data "Possible Identification" data is input into NCDD from the NCP (Item 1 C 2) Data includes the history file, tape information/summary, and residual information, such as possibly relevant case file numbers Disposition See "Data Files" (Item 2 B)</p> <p>2. Images of FBI Case Files Images of FBI case files that may contain derogatory information about a name are uploaded into NCDD. Analysts review the files to determine whether the individual is the subject of or is mentioned in the file based on the criteria for the agency making the request Disposition See "Data Files" (Item 2 B)</p> <p>3. Other Information This information includes, but is not limited to, name of research analyst (reviewer), date assigned to research analyst, name check status and milestone information Disposition See "Data Files" (Item 2 B)</p> <p>B. Data Files Data files include data related to each name check, "Images of FBI Case Files" (Item 2 A2), which are known as the Sealed version, a Redacted Version that is a copy of what is provided to the agency as an output (Item 2 C), and any other related data or metadata Disposition TEMPORARY File cut-off end of calendar in which name check was completed Delete/Destroy 30 years after file cut-off</p> <p>Note see item 4 H for dissemination control files</p>		

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	<p>C. Outputs</p> <p>Name checks that result in derogatory information are reported back to the agency via a summary. The summary includes a cover sheet that states the name, key identifying data about the name, notations and the number and type of attachment(s). In addition, a redacted version of related FBI case records is attached, as applicable.</p> <p>Disposition: See "Summary Files" (Item 4 A)</p> <p>D. System Documentation</p> <p>These files include specifications, design criteria, codebooks, record layouts, search tools and their dates of usage, change management requests, data dictionaries, and related information.</p> <p>Disposition: TEMPORARY Delete/Destroy when superseded, obsolete or when related data files are destroyed, whichever is applicable. <i>GRS 20/4</i></p> <p>E. Audit Records</p> <p>These records include information useful in performing audits on systems operation, such as the date and time of record entries and updates, and system inquiries.</p> <p>Disposition: TEMPORARY Delete/Destroy with the related data files (Item 2 B), <i>30 years after CY</i></p> <p>3. National Name Check Program Online Report System</p> <p>The National Name Check Program Online Report System, with an Oracle back-end, mirrors information contained in NCP and is used by staff to generate statistical and financial reports.</p> <p>A. Inputs</p> <p>Data output from NCP "Data Files" (Item B) is input into the National Name Check Program Online Report System. Generally, the data in the National Name Check Program Online Report System mirrors NCP data.</p> <p>Disposition: See "Data Files" (Item 3 B)</p>		

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	<p>B. Data Files</p> <p>Data files include information as described in Inputs (Item 3 A) and any metadata</p> <p>Disposition TEMPORARY Delete/Destroy in conjunction with the NCP's "Data Files" (Item 1 B) <i>7 years after CT.</i></p> <p>C. Outputs</p> <p>These records include reports, such as a User Fee Report</p> <p>Disposition TEMPORARY Delete/Destroy in accordance with the report's related subject matter, e.g. User Fee Reports will be retained in accordance with "Financial Report Files" (Item 4 E) <i>GRS 20/12+14</i></p> <p>D. System Documentation</p> <p>These files include specifications, design criteria, codebooks, record layouts, search tools and their dates of usage, change management requests, data dictionaries, and related information</p> <p>Disposition TEMPORARY Delete/Destroy when superseded, obsolete or when related data files are destroyed, whichever is applicable <i>GRS 20/14</i></p> <p>E. Audit Records</p> <p>These records include information useful in performing audits on systems operation, such as the date and time of record entries and updates, and system inquiries</p> <p>Disposition TEMPORARY Delete/Destroy with the related "Data Files" (Item 3 B), <i>7 years after CT.</i></p> <p>4. Related Records</p> <p>A. Summary Files</p> <p>Generally, the Summary Files contain the results of the name checks that have relevant or derogatory information. The file may include copies of Letterhead Memorandum (LHM), the Search Slip, Electronic Communications (ECs) and characterization information. If records, such as ECs, were created in the process of determining a name had "No Record" then a Summary File may only contain the ECs related to determining the name was a "No Record"</p> <p>Disposition TEMPORARY File cut-off end of calendar in which name check was completed Delete/Destroy 7 years after file cut-off</p>		

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	<p>B. Characterization Files</p> <p>Characterization information is typically a brief explanation about an organization, such as Hezbollah or the Palestine Liberation Organization</p> <p>Disposition TEMPORARY Delete/Destroy when the FBI no longer has files related to the organization, when the explanation becomes unnecessary, as the organization's characterization is commonly known, or when the characterization is superseded, whichever is sooner</p> <p>C. Manual Name Checks</p> <p>All federal agencies, authorized state and local law enforcement agencies, and authorized areas of the FBI may submit requests "manually" (via phone, fax, or mail) If for some reason information on manual name checks is not entered into NCP or NCDD, the records are to be retained in accordance with "Summary Files" (Item 4 A) <i>Temporary. File cutoff end of CY.</i></p> <p>Disposition See "Summary Files" (Item 4 A) <i>Delete/destroy 7 years after cutoff</i></p> <p>D. Agency Files</p> <p>1. Policy Related Communication Files</p> <p>Records include Memorandum of Understanding (MOU)/Memorandum of Agreement (MOA), contact information, Standard Operating Procedures (SOPs), authority for request, accreditation letter, and other communications relating to policy matters</p> <p>Disposition TEMPORARY Delete/Destroy 7 years after the agreement terminates</p> <p>2. Non-Policy Related Communications Files</p> <p>Records include day-to-day communications, such as internal emails and emails between supervisory staff and the agency</p> <p>Disposition TEMPORARY File cut-off end of calendar year Delete/Destroy 3 years after file cut-off</p> <p>3. Management/Issue Files</p> <p>Records include information on program performance, issues and supporting documentation The types of records include, but are not limited to, reports, notes, correspondences and emails</p> <p>Disposition TEMPORARY Delete/Destroy 7 years after the agreement between the FBI and the agency terminate</p>		

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	<p>E. Financial Reporting Files</p> <p>The FBI has established and collects user fees for services, based on average costs of resources needed for various categories of processing, such as batch name checks, routine name checks, and expedited name checks. Rate structures are ascertained during the initial contact phase when an agency implements a submission program. Records relate to the reimbursable program fees including tracking information, fee studies, correspondence, reports, and copies of interagency and reimbursement agreement and bills.</p> <p>Disposition: TEMPORARY. File cut-off: end of the calendar year. Delete/Destroy 7 years after file cut-off.</p> <p>F. Briefings/Reports Files</p> <p>The records consist of administrative related materials to include but not limited to, statistical and narrative reports, summaries, and presentations.</p> <p>Disposition: TEMPORARY. File cut-off: end of the calendar year. Delete/Destroy 7 years after file cut-off.</p> <p>G. Quality Assurance & Training Records</p> <p>In 2008, the NNCP's Quality and Resource Management Component (QRMC) was established to manage and administer NNCP-related processes, to perform quality assurance (QA) on name checks, including reviews of summaries (Item 4 A) as well as provide NCP training.</p> <p>1. Quality Assurance (QA) Files</p> <p>The QA program was created to provide an internal audit of completed name check requests. The mission is to ensure that completed name checks were given the correct final result and that all necessary documents containing derogatory information was provided to the requesting agency. A daily report is run listing all name check requests that were completed the previous day. A randomly selected 10% are chosen from the report to be audited. If any discrepancies are found then the name check is returned to the research analyst with an explanation of the discrepancies and any necessary corrections are made. Each discrepancy that is found is entered into the "Discrepancy Tracking Database" (Item 4G 1 b) to ensure that all corrections are made and resent to the requesting agency.</p>		

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	<p>a. Internal Reviewer Working Files Records contain information printed from NCP and NCDD regarding completed name checks that are being audited. If any discrepancies are found during the audit process, then the information is entered into the "Discrepancy Tracking Database" (Item 4G 1 b) Disposition TEMPORARY File cut-off upon entry into "Discrepancy Tracking Database" (Item 4G 1 b) Delete/Destroy 3 months after file cut-off</p> <p>b. Discrepancy Tracking Database This information is currently maintained in an MS Access database. The information includes, but is not limited to, subjects' name, research analyst's name, discrepancies found, and responses from Lead Research Analysts or Supervisory Research Analysts regarding the discrepancies found Disposition TEMPORARY File cut-off end of calendar year Delete/Destroy 7 years after file cut-off</p> <p>c. Lead Reviewer Discrepancy Tracking Files Records contain copies of weekly error summary reports that are sent to management and management responses Disposition TEMPORARY File cut-off end of calendar year Delete/Destroy 3 months after file cut-off</p> <p>2. Training Files Training is provided to new employees and contractors on the process and systems used to complete name check requests</p> <p>d. Administration Files Records contain sign-in sheets, course evaluations and completed tests Disposition TEMPORARY File cut-off end of calendar year Delete/Destroy 3 years after file cut-off</p>		

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	<p>e. Training Content Records include, but are not limited to, lesson plans, training materials and blank tests Disposition TEMPORARY File cut-off when records are superseded or obsolete Delete/Destroy when no longer needed for administrative purposes</p> <p>f. Standard Operating Procedures (SOPs) The standard operating procedures provide desk specific guidance on how to process name check requests Disposition TEMPORARY File cut-off when superseded Delete/Destroy when no longer needed for administrative purposes</p> <p>H. Dissemination Control Files Prior to the development of the NCDD, paper control files were used to maintain a record of all name check disseminations These disseminations were filed in HQ 62-5 and 62-HQ-C1039976 Over 160,000 paper serials have been filed in these case files Disposition TEMPORARY File cut-off at the end of the calendar year in which the name check was completed Delete/Destroy 30 years after file cut-off</p>		