

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
FEDERAL BUREAU OF PRISONS

2. MAJOR SUBDIVISION
CENTRAL OFFICE

3. MINOR SUBDIVISION
(SEE ATTACHED)

4. NAME OF PERSON WITH WHOM TO CONFER
OMAR HERRAN

5. TELEPHONE
(202) 514 - 2254

LEAVE BLANK (NARA use only)

JOB NUMBER
NI - 129 - 06 - 6

DATE RECEIVED
3/14/06

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE
3/12/06

ARCHIVIST OF THE UNITED STATES
Allen Weinstein

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 _____ 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,

is not required; is attached; or has been requested.

DATE: *3/8/06* SIGNATURE OF AGENCY REPRESENTATIVE: *Omar Herran* TITLE: CHIEF, INFORMATION MANAGEMENT OFFICE

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	(SEE ATTACHED)		

INST/CO HRM Division - Personnel Security - SBIS Systems

Authority: N1-129-06-	Item#	Approved:
Major Sub. BOP/CO/HRMD	Physical Media: Electronic and Paper	Dated:
Minor Sub: Personnel Security	System Location: South Central Regional Office	
Item Name: Security and Background Investigation System (SBIS)		

The Security and Background Investigation Section of the Human Resource Management Division (HRMD), is the Federal Bureau of Prisons' (FBOP) unit responsible for administering background investigation requirements for FBOP, Public Health Service (PHS), contract and volunteer staff. The section is a Central Office component physically located in the South Central Regional Office, in Dallas, Texas. The Security and Background Investigation System (SBIS) is the computerized management repository and authoritative source of staff and security and background investigation data. This schedule contains retention instructions for the original DOS-based SBIS system as well as for the new Web-based eWorks SBIS deployment.

Since August 1993, SBIS provides the collection, audit, and analysis of comprehensive background investigation records for all FBOP, PHS, contract, and volunteer staff. This system was developed using dBASE IV 1.5 with integrated bar code technology and implemented on a Novell NetWare network. In addition to standard staffing information (name, SSN, date and place of birth, duty entry date, locations), multiple regional tables retain current and historical background investigation and adjudication data. Ancillary extracts (staff accessions, transfers, and separations) are produced from National Finance Center (NFC) data sets which are uploaded biweekly to SBIS.

On January 11, 2006, SBIS administration terminated on the DOS-based legacy platform. In preparation for conversion transition, SBIS data will be converted and implemented on the new Web-based eWorks SBIS work flow management platform scheduled for implementation on January 19, 2006 or thereafter.

1. **DOS-based SBIS.**

a. Input. Personnel information (name, SSN, date and place of birth, entry on duty date, locations, etc.), investigation and adjudication data gathered from forms, email, NFC data sets related to employees, contractors and volunteers.

Disposition: Temporary. Destroy after verification or when no longer needed for reference purposes, whichever is later.

b. Output. Recurring and one-time reports including but not limited to the following examples:

Report Name	Report Description
SBI 90 Day	Identifies individuals requiring re-investigations with a 90-day quarter.
SBI Verification	All electronic records sorted by SBI number
SBI Separation	Separated Bureau employees
Destruction	Identifies electronic records and its corresponding physical file's eligibility for destruction
SBI Audit	Reports reconciling electronic records and their corresponding physical records
SBI Adjudication	Report of cleared background investigation
SBI Specialist	Report of cases assigned to specialists
SSN Duplicate	Report of duplicate SSNs
Facility Designations	Electronic record updates for new facility designations
NFC Uploads Stats	Accession, separation and transfer
OIG Audit	Review of investigation types

SBI = Security and Background Investigation; NFC= National Finance Center; OIG= Office of the Inspector General

Disposition: Temporary. Destroy when no longer needed for reference purposes.

c. Data. DOS-based relational database tables including key field elements such as employee, contractor, or volunteer name, SSN, date of birth (DOB), employment start date (EOD), SBIS case number, OPM investigation number, OPM case closed date, OPM case issue code, Date case received in SBIS, and Date SBIS case adjudication complete among field-based information.

Disposition: Temporary. Delete 6 months after transfer into successor system and verification or when no longer needed for reference purposes, whichever is later.

d. System documentation. Supporting material such as code books, record layouts, data dictionaries and source codes.

Disposition: Temporary. Destroy when superceded or 6 months after transfer into successor system and verification.

2. **Web-based eWorks SBIS.**

a. Input. Personnel information (name, SSN, date and place of birth, entry on duty date, locations, etc.), gathered from forms, email, NFC data sets related to employees, contractors and volunteers

Disposition: Temporary. Destroy after verification or when no longer needed for reference purposes, whichever is later.

b. Output. Recurring and one-time reports including but not limited to the following examples:

Report Name	Report Description
SBI 90 Day	Identifies individuals requiring re-investigations with a ninety day quarter.
SBI Verification	All electronic records sorted by SBI number
SBI Separation	Separated Bureau employees
Destruction	Identifies electronic records and its corresponding physical file's eligibility for destruction
SBI Audit	Reports reconciling electronic records and their corresponding physical records
SBI Adjudication	Report of cleared background investigation
SBI Specialist	Report of cases assigned to specialists
SSN Duplicate	Report of duplicate SSNs
Facility Designations	Electronic record updates for new facility designations
NFC Uploads Stats	Accession, separation and transfer
OIG Audit	Review of investigation types

SBI = Security and Background Investigation; NFC= National Finance Center; OIG= Office of the Inspector General

Disposition: Temporary. Destroy when no longer needed for reference purposes.

c. Data. Web-based relational database tables including key field elements such as employee, contractor, or volunteer name, SSN, date of birth (DOB), employment start date (EOD), SBIS case number, OPM investigation number, OPM case closed date, OPM case issue code, Date case received in SBIS, and Date SBIS case adjudication complete among field-based information.

Disposition: Temporary. Delete 5 years after separation from service or when no longer needed for reference purposes, whichever is later.

d. System documentation. Supporting material such as code books, record layouts, data dictionaries and source codes.

Disposition: Temporary. Destroy when superseded, when no longer needed for reference purposes, or 6 months after transfer into a successor system and verification.

3. **Electronic Version of Records Created by the Electronic Mail and Word Processing Applications for items 1-2 of the Personnel Security SBIS Systems schedule.**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate record-keeping copies of the material covered by the items listed above. Also included are electronic copies of records created on electronic mail and word processing system that are maintained for updating, revision, or dissemination.

Disposition: Temporary. Destroy/delete within 180 days after the record-keeping copy has been produced. Longer retention authorized.