

## Request for Records Disposition Authority

Records Schedule Number DAA-0436-2013-0003  
Schedule Status Approved  
Agency or Establishment Bureau of Alcohol, Tobacco, Firearms, and Explosives  
Record Group / Scheduling Group Records of the Bureau of Alcohol, Tobacco, Firearms, and Explosives  
Records Schedule applies to Major Subdivision  
Major Subdivision Office of Strategic Intelligence and Information (OSII)  
Minor Subdivision Denial Enforcement and NICS Intelligence Branch (DENI)  
Schedule Subject Automated National Instant Criminal Background Check System Referral Application (ANR - ATF NICS):  
Internal agency concurrences will be provided No

### Background Information

**System Title: Automated National Instant Criminal Background Check System Referral Application (ANR - ATF NICS):**

The Gun Control Act of 1968 (GCA), Public Law 90-618, established rules and regulations for persons engaged in the business of buying and selling firearms (Federal Firearms Licensees or FFLs). The GCA also identified nine categories of persons prohibited from possessing firearms. The Brady Act of 1993 requires a three-day waiting period and background check through the National Instant Criminal Background Check System (NICS), or a State agency, prior to the transfer of a firearm from a FFL to a non-licensee. While the Federal Bureau of Investigation (FBI) or State agencies perform the NICS record checks, ATF analyzes NICS denials, and investigates and enforces Brady Act violations, including the actual or attempted acquisition of a firearm by a prohibited person. The FBI electronically transmits both delayed denials (made after the waiting period) and standard denials (made within the waiting period) daily to the ATF Denial Enforcement and NICS Intelligence Branch. ANR - ATF NICS Referral Application accepts the data electronically referred by FBI on NICS denials to enable ATF specialists to initiate investigations on individuals who have attempted to purchase a firearm but were denied after the background check.

When Investigative Systems Operation Specialists (ISOSs) determine that a denial should be investigated they enter the denial status in ANR as either Refer-Delayed or Refer-Standard. A case is then automatically created via a system link with NFORCE, the ATF's electronic case management system, and the case is transferred to

the NICS coordinator at the appropriate ATF field division office for appropriate investigative action.

Disposition of system output is governed by the Records Control Schedule for NFORCE case management system. (N1-436-03-005, Item 1) (Permanent) and is not included in this request.

This system replaces a manual ATF NICS Referral Files scheduled as N1-436-08-002, which is now obsolete.

Item Count

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

GAO Approval

## Outline of Records Schedule Items for DAA-0436-2013-0003

Sequence Number
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1
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Master Database File:
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Disposition Authority Number: DAA-0436-2013-0003-0001
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## Records Schedule Items

Sequence Number	
1	<p><b>Master Database File:</b></p> <p>Disposition Authority Number      DAA-0436-2013-0003-0001</p> <p>The referral data for each denied buyer is stored within ANR indefinitely and it is searchable by NICS Transaction Number (NTN), personal identifiers of the denied individual, ATF Field Division assigned to investigate, Date Range and Denial Status. Records in the database may contain Personally Identifiable Information (PII), which are exempted from public disclosure, pursuant to the Privacy Act of 1974.</p> <p>Final Disposition                      Temporary</p> <p>Item Status                              Active</p> <p>Is this item media neutral?          No</p> <p>Explanation of limitation            Electronic Database Master File.</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      Yes</p> <p>GRS or Superseded Authority Citation      N1-436-08-002, item 1b</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cutoff when content is superseded, obsolete, or no longer needed for Bureau operations or administration.</p> <p>Retention Period                        Destroy immediately after cutoff.</p> <p><b>Additional Information</b></p> <p>GAO Approval                            Not Required</p>

## 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
03/22/2013	Certify	Thomas Hill	ATF Records Officer	Bureau of Alcohol Tobacco Firearms and Explosives - Bureau of Alcohol Tobacco Firearms and Explosives
09/10/2014	Submit for Concurrency	Elizabeth Greenberg	Appraiser	National Archives and Records Administration - Records Management Services
09/11/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
09/11/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/16/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist